



**IIROC Membership Disclosure Policy
XXXX XX, 2011**

1. Definitions

For the purpose of the IIROC membership disclosure requirements described herein, the term:

- (a) **“Advertising”** means any published material promoting a Dealer Member’s business, whether in written, audio or visual form, and includes materials available electronically.
- (b) **“IIROC Membership Disclosure Policy”** means the membership disclosure policy prescribed as such by IIROC for use by Dealer Members.
- (c) **“IIROC Official Acronym”** means «IIROC» for Investment Industry Regulatory Organization of Canada and «OCRCVM» for l’Organisme canadien de réglementation du commerce des valeurs mobilières.
- (d) **“IIROC Official Brochure”** means any publication prescribed as such by IIROC which explains the purpose of IIROC and which IIROC authorizes for public distribution.
- (e) **“IIROC Official Decal”** means any decal so prescribed by IIROC, from time to time, for use by Dealer Members.
- (f) **“IIROC Official Logo”** means the logo prescribed as such by IIROC, from time to time, for use by Dealer Members.
- (g) **“IIROC Official Name”** means IIROC, Investment Industry Regulatory Organization of Canada, OCRCVM or Organisme canadien de réglementation du commerce des valeurs mobilières.

2. IIROC Official Decal

The IIROC Official Decal must be clearly visible to clients at each business location to which the public has access. No Dealer Member shall be required to display

the IIROC Official Decal until 30 days after the first day of operation as a Dealer Member. IIROC will only accept orders for the IIROC Official Decal from the Dealer Member's head office, which is responsible for ordering and distributing the IIROC Official Decal to each of its locations.

Dealer Members are required to order the IIROC Official Decal from IIROC by sending an email to secretary@iiloc.ca with the following information:

- (a) Dealer Member name
- (b) Contact name, address and phone number
- (c) Email address
- (d) Quantities required

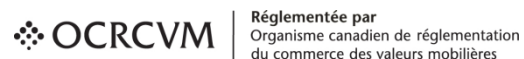
Orders will be processed and sent by regular mail within one week of receipt of the order. Questions concerning the IIROC Official Decal can be sent to secretary@iiloc.ca.

3. **IIROC Official Logo**

Logo Specifications

The IIROC Official Logo (shown below in a low-resolution format that should not be used), must be clearly visible and reproduced directly from the IIROC website at www.iiloc.ca.

Black and White (English and French)



Colour (English and French)



Additional requirements:

- Font used must be not less than 6.35 millimeters (0.25 inches) in height.
- A separate black and white version must be used when the document/material is not being reproduced in colour.
- The IIROC Official Logo must include a surrounding blank area equivalent to the height of the letter 'I' in IIROC.

Client Account Statement and Client Trade Confirmation Requirements

Each Dealer Member shall include the IIROC Official Logo on the front of each trade confirmation and account statement that is sent to a client.

Website Requirements

If a Dealer Member has a website, it must include both the IIROC Official Logo and a link to the IIROC website at www.iroc.ca.

Advertising Requirements

The use of the IIROC Official Logo in Advertising is optional. A Dealer Member must provide samples of any Advertising that use or make reference to the IIROC Official Name, Logo, Brochure and Decal upon IIROC's request.

4. IIROC Official Name and Acronym

Dealer Members are permitted to use the IIROC Official Name or Acronym. However, on the first instance of the use of the IIROC Official Acronym, it must be preceded by the IIROC Official Name. At no point is IIROC to be referred to as "The IIROC" or any other deviation from the IIROC Official Acronym.

5. IIROC Official Brochure

Each Dealer Member must distribute the current version of the IIROC Official Brochure to new clients, and make it available to existing clients upon request.

There are 2 ways to order the IIROC Official Brochure:

- (1) Go to the IIROC website and print copies:

English

www.iroc.ca/English/MemberResources/Brochures/Pages/IIROCMattersInvestor.aspx

French

www.iroc.ca/French/MemberResources/Brochures/Pages/IIROCMattersInvestor.aspx

- (2) Order directly from the printer:

SLG Commercial Printing
ATT: Dave Gibbons
106 East Drive
Brampton, ON L6T 1C1

Tel: 905.792.7887
Fax: 905.793.7796
Toll Free: 1.866.299.6685
Email: dave.gibbons@slgcp.ca

6. **Prohibitions**

Dealer Members are prohibited from using the IIROC Official Name, Acronym, Logo, Decal and Brochure in the following circumstances:

- (a) if IIROC decides that its use is detrimental to the public's interests or the interests of IIROC or its Dealer Members;
- (b) where use of the IIROC Official Name, Acronym, Logo, Decal or Brochure gives the impression that IIROC approves, endorses or guarantees a Dealer Member service or an investment product or is otherwise false or misleading;
- (c) in connection with a subject matter or activity that is not regulated by IIROC; and
- (d) upon the termination or suspension of its membership.

7. **IIROC Contact**

If you have any questions concerning the treatment of the IIROC Official Name, Logo, or Brochure, please contact Public Affairs at 416.943.6921 or at publicaffairs@iroc.ca.