

Attachment 6 – List of the updated and new guidance notes

GN Number	Guidance Title
1300-21-001	Exemption applications relating to IIROC Rules
1400-21-002	The Role of Compliance and Supervision
1500-21-001	Managing significant areas of risk
2100-21-001	Guidance on Investment in a Dealer Member – Notification and Approval
2200-20-001	Shared Premises
2200-21-001	Reporting of material changes to business activities
2200-21-002	Trade Names
2200-21-004	Diversification – Distribution of Insurance Products
2300-21-001	Principal and Agent Relationships
2300-21-003	Outsourcing arrangements
2400-21-001	Consolidation of back-office operations of a Dealer Member and its affiliate
2400-21-002	Clearing arrangements
2400-21-003	Auditor’s segregation report
2500-21-003	Sale of Principal Protected Notes by Approved Persons of IIROC Dealer Members
2500-21-004	Part-Time Chief Financial Officer
2500-21-005	Late Filing Fees
2500-21-008	Guidelines for the 30-Day Training Program
2600-21-001	Plain Language Rule Book Project - Registration Changes
2600-21-002	Proficiency Requirements for Individuals previously registered in Hong Kong
2600-21-005	Requirement to Complete the 30 or 90-day Training Program
2600-21-006	Guidelines for the 90-day Training Program
2600-21-007	IIROC Registration - Proficiency Exemption Requests
2600-21-009	Permissible Activities for those taking the 30 and 90-Day Training Programs
2800-21-001	Procedure for Foreign Business Locations of IIROC Dealers
2800-21-002	Business Locations – Registration and Compliance approach to work-from-home arrangements
3100-21-001	Client Relationship Model
3100-21-002	Mutual Fund Sales Incentives
3100-21-003	Guidance on Best Execution
3100-21-004	Guidance on fair pricing of over-the-counter securities
3100-21-005	Customer Accounts “in trust”
3100-21-006	Managing Conflicts of Interest arising from Soliciting Dealer Arrangements
3100-21-007	Recommendations and best practices for distribution of non-arm’s length investment products
3200-21-001	Borrowing for Investment Purposes – Suitability and Supervision
3200-21-002	Guidance Respecting Order Execution Only Accounts as a Form of Third-Party Electronic Access to Marketplaces
3200-21-006	Use of Identifiers and Notification Requirements Respecting Certain Order Execution Only and Direct Electronic Access Clients and Advisers
3200-21-007	Anti-Money Laundering Compliance Guidance
3300-21-001	Product Due Diligence and Know-Your-Product
3400-21-001	Sales Practice Obligations Relating to Leveraged and Inverse Exchange-Traded Funds
3400-21-002	Minimum Standards for Institutional Account Opening, Operations and Supervision
3400-21-003	Guidance on order execution only account services and activities
3500-21-001	Guidelines for Confidential Information Containment
3500-21-002	Guidance on Client Priority for Private Placements
3500-21-003	Pre-Marketing of Distributions
3500-21-004	Risk Disclosure Statement for Futures and Options

GN Number	Guidance Title
3500-21-005	Guidance respecting underwriter due diligence
3600-20-001	Research Report Disclosures and Best Practices
3600-21-002	Review of Advertisements, Sales Literature and Correspondence
3700-21-001	Releases Entered Into Between Dealer Members & Clients and Confidentiality Restrictions
3700-21-002	Electronic client complaint record retention
3700-21-003	Complying with requirements regarding the Ombudsman for Banking Services and Investments (OBSI)
3700-21-004	Recognition of contingent loss arising from litigation
3700-21-005	Frequently Asked Questions – Mandatory Cybersecurity Incident Reporting
3800-20-001	Content of Books and Records
3800-21-001	Pledge of Member's client securities
3800-21-002	Processing of segregated fund contracts
3800-21-003	Guidance on Marketplace and Average Price Disclosure for Trade Confirmations
3800-21-004	Consolidated statements
3800-21-006	Off-book transactions
3800-21-007	Trade matching and trade confirmation suppression practices
3800-21-008	Service arrangements between Dealer Members and Portfolio Managers
3800-21-009	Average price accounts – margin requirements
3800-21-010	Client Relationship Model ("CRM") - Frequently Asked Questions
3900-20-001	Account Supervision Guidance
3900-21-001	Order Execution Only Dealers and the use of automation in the account opening approval process
3900-21-002	Best Practices for Head Office Supervision of Business Locations
3900-21-003	Principal Protected Notes Compliance Review
3900-21-005	Unilateral Mutual Fund Substitutions
4100-21-002	Alternative confirmation procedures for mutual funds
4100-21-004	Schedule 9 of Form 1, concentration of securities
4200-21-001	Best practices for credit risk management
4300-21-001	"Evidence of deposits" and custody agreements
4300-21-002	Segregation of RRSP Securities
4300-21-003	Cash Segregated in Trust for Clients with an Acceptable Institution
4300-21-004	Securities held in custody - securities held in a foreign jurisdiction
4400-21-001	Mail insurance coverage
4400-21-002	Financial Institutional Bond in-transit Insurance
4800-21-001	Regular settlement date to be used for certain foreign exchange hedge trades
4800-21-002	Exemption from subsection 4803(6) of the IIROC Rules – Interest calculation for monthly pay instruments
4800-21-003	Exemption Procedure for Bulk Account Movements
5200-21-001	Government of Canada – Real Return Bonds
5200-21-002	Margin requirements for synthetic and reconstituted Government of Canada Bonds
5300-21-001	Loan value granted to significant security positions held in Dealer Member and client accounts
5400-21-002	Interest rate swaps
5400-21-003	Margin treatment of unhedged foreign exchange positions held in client accounts
5600-21-001	Capital and margin requirements for special warrants, subscription receipts and restricted securities
5700-21-001	Margin requirements for cryptocurrency futures contracts
5700-21-002	Acceptable structures for long condor spread and short iron condor spread
5700-21-003	Over-the-Counter (OTC) option contracts
5700-21-004	Potential early exercise risk when American style options are used in a box spread strategy

GN Number	Guidance Title
5900-21-001	Accounting and margin for repurchase and resale agreements
7100-21-001	Debt market requirements
7300-21-001	Organizations that provide domestic debt market transparency
9200-21-001	IIROC Registration – The Fit and Proper Test for Approved Persons
FORM1-21-001	Amendments to Statement B and C of Form 1 – Custodial Agreements
FORM1-21-002	Capital provision for unresolved mutual fund differences
FORM1-21-003	Clarification on Schedule 14 of Form 1 and the limited recourse call loan agreement
FORM1-21-004	Acceptable alternative procedures for U.S. broker reconciliations (Statement B, Form 1)