

## **Corollary amendments made to Form 1 to ready it for inclusion within the Investment Dealer and Partially Consolidated Rules**

### **Key amendments made:**

- Replaced “IIROC” with “the Corporation”
- Replaced “IIROC Rules” with either:
  - “Corporation requirements” for general references to requirements, or
  - “Corporation Investment Dealer and Partially Consolidated Rules” when there is a reference to a specific rule requirement
- Replaced “Canadian Investor Protection Fund” and “CIPF” with “Investor Protection Fund” and “IPF”, respectively
- In audit reports and agreed-upon procedures report, both to be completed by the Dealer Member’s external auditor, replaced “Investment Industry Regulatory Organization of Canada” and “IIROC”, and “Canadian Investor Protection Fund” and “CIPF” with blank name entry fields to enable the external auditors to fill in name of the self-regulatory organization and the investor protection fund, respectively.

### **Impacted statements, schedules, certificates and reports**

1. Table of Contents – Revised all dates to Jan-2023 to indicate the effective date of the revised Form 1 statements, schedules and reports.
2. General notes and definitions – Minor language revisions have been made to the following notes and definitions:
  - Note 1,
  - Note 2,
  - Note 3,
  - Note 4,
  - Note 5,
  - Note 12, definition of “acceptable clearing corporation”,
  - Note 12, definition of “acceptable counterparty”,
  - Note 12, definition of “acceptable institution”,
  - Note 12, definition of “acceptable securities location”,
  - Note 12, definition of “broad based index”, and
  - Note 12, definition of “regulated entity”.
3. Certificate of Ultimate Designated Person and Chief Financial Officer – Minor language revisions have been made.
4. Independent Auditor’s Report A, E and F – Existing references to “Investment Industry Regulatory Organization of Canada”, and “Canadian Investor Protection Fund” have been replaced with blank name entry fields to enable the external auditors to fill in name of the self-regulatory organization and the investor protection fund, respectively. Other minor language revisions have been made.
5. Independent Auditor’s Report B, C and D - Existing references to “Investment Industry Regulatory Organization of Canada”, and “Canadian Investor Protection Fund” have been replaced with blank

name entry fields to enable the external auditors to fill in name of the self-regulatory organization and the investor protection fund, respectively. Other minor language revisions have been made.

6. Independent Auditor's Report, Notes and Instructions – Minor language revisions have been made.
7. Statement A, Notes and Instructions – Minor language revisions have been made to Note 22.
8. Statement B, Notes and Instructions – Minor language revisions have been made to Notes 2 and 5 through 9.
9. Statement C, Notes and Instructions – Minor language revisions have been made to Notes 2, 4, 7 and 8.
10. Statement F, Notes and Instructions – A minor language revision has been made to Note 1.
11. Agreed-upon procedures report – Existing references to "Investment Industry Regulatory Organization of Canada" and "IIROC", and "Canadian Investor Protection Fund" and "CIPF" have been replaced with blank name entry fields to enable the external auditors to fill in name of the self-regulatory organization and the investor protection fund, respectively. Other minor language revisions have been made.
12. Schedule 2, Notes and Instructions – Minor language revisions have been made to Notes 1 and 4.
13. Schedule 2B, Notes and Instructions – A minor language revision has been made to Note 1.
14. Schedule 4, Notes and Instructions – A minor language revision has been made to Note 1.
15. Schedule 4A, Notes and Instructions – A minor language revision has been made to Note 2.
16. Schedule 5 – A minor language revision has been made to the line description for Line 3(a).
17. Schedule 5, Notes and Instructions – A minor language revision has been made to Note 7.
18. Schedule 9, Notes and Instructions – Minor language revisions have been made to Note 13.
19. Schedule 9B, Notes and Instructions – Minor language revisions have been made to Note 4.
20. Schedule 10 Notes and Instructions – Minor language revisions have been made to Notes 1 and 8.
21. Schedule 11 and 11A, Notes and Instructions – Minor language revisions have been made to Notes 2, 3 and 10.
22. Schedule 14, Notes and Instructions – A minor language revision has been made to Note 4.

**Other minor formatting/spelling corrections made:**

1. Statement C – The line description for Line 8 has been revised from "Lines 5 less Line 6 and 7" to "Line 5 less Lines 6 and 7".
2. Statement F – The statement title has been revised from "Part 1" to "Part I".
3. Schedule 7 – The title of column 1 within the schedule has been revised to remove capitalization from the words "payable" and "received".
4. Schedule 10 – The following revisions have been made:
  - the title of Part A of the schedule has been revised to remove capitalization from the word "clauses"
  - the text used to describe the requirements in Part A, Line 1 has been revised to remove capitalization from the words "minimum requirement" and "introducing broker".