



**IIROC Membership Disclosure Policy
June 16, 2016**

1. **Definitions**

For the purpose of the disclosure requirements described in this policy, the term:

- (a) **“IIROC Decal”** means any decal so prescribed by IIROC, from time to time, for use by Dealer Members.
- (b) **“IIROC Disclosures”** refers to the IIROC Decal, Logo and Official Brochure, collectively.
- (c) **“IIROC Logo”** means the logo prescribed as such by IIROC, from time to time, for use by Dealer Members.
- (d) **“IIROC Official Brochure”** means any publication prescribed as such by IIROC from time to time which explains, among other things, the purpose of IIROC and which IIROC authorizes for public distribution.
- (e) **“IIROC AdvisorReport”** refers to IIROC’s searchable database that allows investors to research the background, qualifications and disciplinary history on advisors at IIROC-regulated firms by generating an electronic report.

2. **IIROC Decal**

The IIROC 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 Decal until 30 days after the first day of operation as a Dealer Member.

IIROC will only accept orders for the IIROC Decal from the Dealer Member’s head office, which is responsible for ordering and distributing the IIROC Decal to each of its locations.

IIROC will supply the IIROC Decals to the Dealer Member at no cost. Dealer Members are required to order the IIROC Decal from IIROC by sending an email to publicaffairs@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.



3. **IIROC Logo**

Dealer Members must use the IIROC Logo to satisfy all IIROC membership disclosure requirements set out in this policy. Specifically, a Dealer Member must include the IIROC Logo and a link to the IIROC website (i.e. www.iiroc.ca) on the Dealer Member's homepage or, where the Dealer Member site or internet presence is part of a combined financial institution group website, on the main page for the Dealer Member.

Unless prohibited under section 6 of this policy, use of the IIROC Logo is optional in all other circumstances and available for general use by Dealer Members.

IIROC Logo Specifications

The IIROC Logo must be clearly visible and reproduced directly from the format provided below:

Black and White (English and French)



Colour (English and French)



Additional requirements:

- No font or colour changes are permitted.
- The minimum size for reproduction is 6.35 millimeters (0.25 inches) in height.
- Font used must not be 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 Logo must include a surrounding blank area equivalent to the height of the letter 'I' in IIROC.

Client Account Statements

Each Dealer Member is required to include the IIROC Official Logo on the front of each account statement that is sent to clients.

4. **IIROC Official Brochure**

The IIROC Official Brochure is entitled "*Why IIROC Matters to You, the Investor*". Dealer Members must provide an electronic or hard copy of the current version of the IIROC Official Brochure to:

- new retail clients at the time of account opening, and
- existing retail clients upon request.



A PDF version of the IIROC Official Brochure is available in English and French and is located on the IIROC website. Dealer Members are responsible for the cost of providing a hard copy of the IIROC Official Brochure to retail clients.

A hard copy of the IIROC Official Brochure is available in French and English and can only be ordered directly from the IIROC designated printer at:

SLG Group Commercial Printing
ATT: Chris Valade
7956 Torbram Road, Unit 25
Brampton, ON L6T 5A2

Tel: 905.792.7887
Fax: 905.793.7796
Email: chris.valade@slggroup.ca

5. **IIROC AdvisorReport**

Each Dealer Member that provides products or services to retail investors must include a hyperlink and clearly visible reference to the IIROC *AdvisorReport* on the Dealer Member's homepage and on any other Dealer Member webpage that includes a profile of an IIROC-regulated investment advisor.

6. **Prohibitions**

IIROC may direct a Dealer Member to cease using the IIROC Disclosures 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; and
- (b) upon suspension of its membership.

A Dealer Member is prohibited from using the IIROC Disclosures in the following circumstances:

- (a) where use of the IIROC Disclosures approves, endorses or guarantees a Dealer Member service or an investment product or is otherwise false or misleading;
- (b) upon the termination of its membership, and
- (c) in connection with a subject matter or activity that is not regulated by IIROC.

Upon request by IIROC, a Dealer Member must provide samples of any materials that use or make reference to the IIROC Disclosures.

7. **IIROC Contact**

If you have any questions concerning the use of the IIROC Disclosures, please contact Public Affairs or Member Regulation Policy at 416.364.6133 or 1.877.442.4322.