

**IMPORTANT NOTICE**



Reference ID: 

We are writing to advise you of an incident involving your personal information. A portable device containing personal information about you was lost by an employee of our organization at the end of February and, despite ongoing efforts and reporting the incident to authorities, it has not been retrieved. Following a high-priority forensic investigation, we were able to confirm as of March 22, 2013 that the information contained on the device may have included your name, address, date of birth as well as the name of your investment dealer and dealer account number(s).

The Investment Industry Regulatory Organization of Canada (IIROC) is a national self-regulatory organization which oversees all investment dealers and trading activity on debt and equity marketplaces in Canada. Our mandate requires us to conduct compliance reviews of investment dealers' client accounts and it is in this capacity that we obtained access to your information. The investment dealer with whom you have a relationship is obliged to provide us with that information.

While our policies require two levels of security, this device met the first level of password-protection but not the second level of encryption. Although we have not received any indication that the information contained on the portable device has been accessed or used by a third party, we take this matter very seriously and deeply regret what has happened.

We have taken a number of steps to mitigate any potential risk to you:

- We have set up a dedicated call center, available from 9 a.m. to 5 p.m. Monday to Friday, to help answer your questions and concerns and, if needed, to walk you through the support materials we have provided to you. The toll-free number is **1-866-333-0888**;
- We have arranged, at no cost to you, a six-year flag alert service through Equifax Canada that is now in place on your credit file to reduce the potential risk of fraud. Please note that you can opt out of this service by contacting Equifax Canada at **1-800-465-7166**; and
- We have included a comprehensive checklist that provides information on additional steps you can take to protect your personal information.

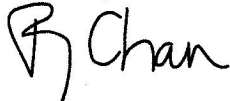
We have notified the investment dealer firm of which you are a client and provided the firm with all the information we are providing to you. We want to assure you that your investment dealer was not involved in the incident described above.

Due to the sensitive nature of the information, we have also notified relevant privacy commissioners. We are working with them to ensure that all reasonable steps are taken to mitigate any potential risk associated with the loss of your information.

While this was an isolated event for IIROC, we have also launched a comprehensive review of our security and business policies, procedures and protocols to do everything we can to prevent this from happening again.

We encourage you to review the enclosed materials carefully. These include important information on the services made available to you and additional measures you can take to help protect your information further. Once again, on behalf of IIROC, we know this is difficult news and we sincerely regret any concern or inconvenience this may cause you.

Sincerely,

A handwritten signature in black ink that reads "R. Chan". The signature is stylized, with a large, looped "R" and a cursive "Chan".

Rosemary Chan  
Chief Privacy Officer