

**A Resolution Concerning Mutual Assistance  
("Rio Declaration")**

**Passed by the Executive Committee  
November 1986**

Considering the increasing international activity in the securities markets;

Recognizing the need to enhance investor protection through both oversight of the internationalized markets and securities-related businesses as well as through enforcement of national securities laws with respect to international transactions;

Desiring to develop new mechanisms for mutual cooperation and assistance among securities authorities;

NOW THEREFORE BE IT RESOLVED THAT the Executive Committee of the International Organization of Securities Commissions ("IOSCO") hereby calls upon all securities authorities;

- a. to the extent permitted by law, to provide assistance on a reciprocal basis for obtaining information related to market oversight and protection of each nation's markets against fraudulent securities transactions;
- b. to designate a contact person who will insure the timely processing of all requests for assistance.

**Undertaking of Securities Authority**

(designation of Securities Authority)

agrees to provide assistance on a reciprocal basis to the extent permitted by law to all securities authorities who accede to the Resolution of the Executive Committee of the International Organization of Securities Commissions dated November 7, 1986.

In order to ensure the timely processing of requests, the

(designation of Securities Authority)

appoints as contact person:

1) \_\_\_\_\_

(name of the contact)

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(position)

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(address)

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(telephone number)

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(telex number)

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(fax number)

2)

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(name of second contact)

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(position)

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Signature

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(name of the signatory)

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(position)

## RESOLUTION CONCERNING MUTUAL ASSISTANCE ("Rio Declaration")

**Executive Committee  
November 1986**

<b>Jurisdiction</b>	<b>Name of the Organization</b>	<b>Signed</b>
<b>REGULAR MEMBERS</b>		
1 - ALGERIA	Commission d'Organisation et de Surveillance des Opérations de Bourse	
2 - ARGENTINA	Comisión Nacional de Valores	Yes (87-08-14)
3 - AUSTRALIA	Australian Securities and Investments Commission	Yes (87-10-31)
4 - AUSTRIA	Austrian Securities Authority	Yes (92-12-20)
5 - BAHAMAS	Securities Board (The Commonwealth of The Bahamas)	Yes (96-11-22)
6 - BAHRAIN (State of)	Bahrain Stock Exchange	
7 - BANGLADESH	Securities and Exchange Commission	
8 - BARBADOS	Securities Exchange of Barbados	
9 - BELGIUM	Commission bancaire et financière	Yes (90-05-28)
10 - BERMUDA	The Bermuda Monetary Authority	Yes (92-11-19)
11 - BOLIVIA	Superintendencia de Valores	Yes (87-08-19)
12 - BRAZIL	Comissão de Valores Mobiliários	Yes (N-12) (87-02-16)
13 - BULGARIA	Securities and Stock Exchanges Commission	
14 - CHILE	Superintendencia de Valores y Seguros	Yes (87-03-06)
15 - CHINA (People's Republic of)	China Securities Regulatory Commission	
16 - COLOMBIA	Superintendencia de Valores	Yes (87-03-12)

17 - COSTA RICA	Superintendencia General de Valores	Yes (87-08-11)
18 – CROATIA (Republic of)	Securities and Exchange Commission	
19 - CYPRUS (Republic of)	Central Bank of Cyprus	Yes (91-01-18)
20 - DENMARK	Finanstilsynet	Yes (90-06-22)
21 - DOMINICAN REPUBLIC	Banco Central de la República Dominicana	
22 - ECUADOR	Superintendencia de Compañías	Yes (87-06-29)
23 - EGYPT	Capital Market Authority	Yes (88-02-18)
24 – EL SALVADOR	Superintendencia de Valores	
25 - FINLAND	Financial Supervision Authority	Yes (92-08-07)
26 - FORMERLY UGOSLAV REPUBLIC OF MACEDONIA	Securities and Exchange Commission	
27 - FRANCE	Commission des Opérations de Bourse	Yes (87-02-18)
28 - GERMANY	Bundesaufsichtsamt für den Wertpapierhandel (BAWe)	Yes (N-28) (95-03-08)
29 - GREECE	Capital Market Commission	Yes (N-29) (98-08-19)
30 - GUERNSEY	Guernsey Financial Services Commission	Yes (91-11-12)
31 - HONG KONG	Securities and Futures Commission	Yes (86-12-24)
32 - HUNGARY	Hungarian Banking and Capital Market Supervision	Yes (91-01-02)
33 - INDIA	Securities and Exchange Board of India (SEBI)	Yes N-33) (98-08-17)
34 - INDONESIA	Indonesian Capital Market Supervisory Agency	
35 - IRELAND	Central Bank of Ireland	Yes (95-05-10)
36 - ISLE OF MAN	Financial Supervision Commission	Yes (92-11-20)

37 - ISRAEL	Israel Securities Authority	
38 - ITALY	Commissione Nazionale per le Società e la Borsa	Yes (87-03-31)
39 - JAMAICA	Securities Commission	Yes (91-12-30)
40 - JAPAN	Financial System Planning Bureau of the Ministry of Finance	Yes (90-06-28)
41 - JERSEY	Jersey Financial Services Commission	Yes (96-02-12)
42 – JORDAN	Jordan Securities Commission	Yes (93-01-25)
43 – KAZAKHSTAN (Republic of)	National Securities Commission	
44 – KENYA	Capital Markets Authority	Yes (93-05-21)
45 - KOREA	Financial Supervisory Commission	Yes (92-10-26)
46 – KYRGYZ REPUBLIC	National Commission on Securities Market	
47 - LITHUANIA	Lithuanian Securities Commission	
48 - LUXEMBOURG (Grand Duchy of)	Commissariat aux Bourses	Yes (91-10-28)
49 - MALAYSIA	Securities Commission	Yes (N-49) (96-10-03)
50 - MALTA	Malta Stock Exchange	
51 - MAURITIUS (Republic of)	Stock Exchange Commission	Yes (93-01-29)
52 - MEXICO	Comisión Nacional Bancaria y de Valores	Yes (87-02-26)
53 - MOROCCO	Conseil Déontologique des Valeurs Mobilières	Yes (N-53) (97-07-15)
54 - NETHERLANDS (The)	Stichting Toezicht Effectenverkeer	Yes (93-07-23)
55 - NEW ZEALAND	Securities Commission	Yes (87-08-19)
56 - NIGERIA	Securities and Exchange Commission	Yes (N-56) (87-08-28)
57 - NORWAY	Kredit Tilsynet	Yes

		(87-02-23)
58 - OMAN (Sultanate of)	Muscat Securities Market	Yes (91-12-14)
59 - ONTARIO	Ontario Securities Commission	Yes (86-12-29)
60 - PAKISTAN	Corporate Law Authority /Government of Pakistan	
61 - PANAMA	Comisión Nacional de Valores	Yes (87-02-27)
62 – PAPUA NEWGUINEA	Securities Commission	
63 - PARAGUAY	Comisión Nacional de Valores	
64 - PERU	Comisión Nacional Supervisorade Empresas y Valores	Yes (87-02-23)
65 - PHILIPPINES	Securities and Exchange Commission	Yes (91-02-13)
66 - POLAND	Polish Securities and Exchange Commission	Yes (91-12-11)
67 - PORTUGAL	Comissão do Mercado de Valores Mobiliários	Yes (92-02-04)
68 - QUEBEC	Commission des valeursmobilières du Québec	Yes (87-01-15)
69 - ROMANIA	Romanian National Securities Commission	
70 - RUSSIA	Federal Commission for the Securities Market of the Russian Federation	
71 - SINGAPORE	The Monetary Authority of Singapore	Yes (96-03-13)
72 - SLOVENIA	Securities Market Agency	
73 - SOUTH AFRICA	Financial Services Board	Yes (N-73) (92-12-22)
74 - SPAIN	Comisión Nacional del Mercadode Valores	Yes 93-01-21)
75 - SRI LANKA	Securities and Exchange Commission of Sri Lanka	
76 - SWEDEN	Finansinspektionen	Yes (87-12-28)
77 - SWITZERLAND	Commission Fédérale des Banques	Yes (N-77) (97-02-01)

78 - CHINESE TAIPEI	Securities and Futures Commission	Yes (87-05-08)
79 - TANZANIA	Capital Markets and Securities Authority	
80 - THAILAND	Office of the Securities and Exchange Commission	Yes (93-09-13)
81 - TRINIDAD AND TOBAGO	Trinidad and Tobago Securities and Exchange Commission	Yes (87-06-12)
82 - TUNISIA	Conseil du Marché Financier	Yes (93-01-25)
83 - TURKEY	Capital Market Board	Yes (N-83) (93-08-16)
84 - UKRAINE	Ukrainian Securities and Stock Market State Commission	Yes (N-84) (96-06-18)
85 - UNITED KINGDOM	Financial Services Authority	Yes (92-01-07)
86 - UNITED STATES OF AMERICA	United States Securities and Exchange Commission	Yes (87-03-18)
87 - URUGUAY	Banco Central del Uruguay	Yes (87-09-17)
88 - VENEZUELA	Comisión Nacional de Valores	Yes (87-11-18)
89 - ZAMBIA	Securities and Exchange Commission	
<b>ASSOCIATE MEMBERS</b>		
90 - ALBERTA	Alberta Securities Commission	
91 - BRITISH COLUMBIA	British Columbia Securities Commission	Yes (90-05-25)
92 - JAPAN	Ministry of Agriculture, Forestry and Fisheries	
93 - JAPAN	Ministry of International Trade and Industry (MITI)	
94 - JAPAN	Securities and Exchange Surveillance Commission	
95 - LEBANON	Banque du Liban	
96 - LUXEMBOURG (Grand Duchy of)	Institut Monétaire Luxembourgeois	
97 - UNITED STATES OF	Commodity Futures Trading	

AMERICA

Commission

98 - UNITED STATES OF  
AMERICA

North American Securities  
Administrators Association, Inc.  
(NASAA)

Yes  
(90-12-04)