



INVESTMENT DEALERS  
ASSOCIATION OF CANADA

# bulletin



ASSOCIATION CANADIENNE DES  
COURTIERS EN VALEURS MOBILIÈRES

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*For distribution to relevant parties within your firm*

**BULLETIN #3108**

January 29, 2003

## Disciplinary Sanction Guidelines

The Investment Dealers Association of Canada has developed Disciplinary Sanction Guidelines. The Senior Vice-President, Member Regulation or staff designated by him will recommend penalties to the District Council Discipline Panel in accordance with these guidelines.

In addition, the General Principles and Guidelines may be taken into account by District Council Disciplinary panels when determining the appropriate sanction to be imposed as part of a Settlement Agreement or at the end of a disciplinary proceeding commenced pursuant to By-law 20.

The Guidelines will be made available to Member firms on the Association web site.

Kenneth A. Nason  
*Association Secretary*