

MEMBER REGULATION



INVESTMENT
DEALERS
ASSOCIATION
OF CANADA



ASSOCIATION
CANADIENNE DES
COURTIERS EN
VALEURS MOBILIÈRES

notice

Contact:

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MR-119

November 26, 2001

ATTENTION:
Ultimate Designated Persons
Chief Financial Officers
Panel Auditors

Distribute internally to:

- Corporate Finance
- Credit
- Institutional
- Internal Audit
- Legal & Compliance
- Operations
- Registration
- Regulatory Accounting
- Research
- Retail
- Senior Management
- Trading desk
- Training

Approval Letters

In the past the Prairie Region of the Investment Dealers Association provided the member and registrant with all approval/registration certificates. The Prairie Region will continue to provide members with the original copy, however, effective immediately we will be mailing a photocopy of approval/registration certificates to the registrant only in cases where a term and condition has been imposed on their license.

For convenience we will also be sending the member a photocopy of the approval/registration certificate in those cases where the registrant has not been supplied with a photocopy directly from the IDA.

This is more consistent with current practice used by other IDA offices and will work towards streamlining procedures prior to the implementation of the NRD.

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