

## MEMBER REGULATION



INVESTMENT  
DEALERS  
ASSOCIATION  
OF CANADA



ASSOCIATION  
CANADIENNE DES  
COURTIERS EN  
VALEURS MOBILIÈRES

# notice

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**MR0137**

May 2, 2002

ATTENTION:  
Ultimate Designated Persons  
Chief Financial Officers  
Panel Auditors

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### Branch/Sub-Branch Office Opening Form

The Branch/Sub-Branch Office Opening form has been revised.

The information required to open a Branch/Sub-Branch Office has been streamlined to reflect the information that will be required in the upcoming National Registration Database System.

The changes to the new form include the following:

- The elimination of confirmations in reference to residential locations, part-time sub-branches and signage. In addition, Members are no longer required to submit detailed supporting documents in cases of shared premises. Instead, this information will be examined during Sales Compliance reviews to ensure they are in accordance with National Instrument 33-102.
- A new section has been added for Members to list the approved persons who will initially be working out of the office.

IDA staff believe the new streamlined form will reduce the amount of time required for a firm to submit the documentation and receive IDA approval for a new office location.

The new form *Branch Opening Form 0202* is attached to this Notice. In addition, a PDF fillable version can be downloaded from the Registration Guide section of the IDA's web site.

Members may use this form effective immediately, and are asked to ensure the 0202 form is used for all office openings submitted after May 16, 2002.

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