

MEMBER REGULATION



INVESTMENT
DEALERS
ASSOCIATION
OF CANADA



ASSOCIATION
CANADIENNE DES
COURTIERS EN
VALEURS MOBILIÈRES

notice

Contact:

W. D'Silva: (416) 865-3032 – wdsilva@ida.ca

MR0146

June 12, 2002

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

Guide to Completion of the 1-U-2000

The IDA is pleased to provide an updated *Completion of Forms* section of our Registration Guide, to assist our Members in completing the Uniform Application Form for Registration/Approval (“1-U-2000”).

The attached Guide provides details and instructions for completing each section of the 1-U-2000. The IDA recommends that this Guide be used by Members and applicants when completing a 1-U-2000 to eliminate any unnecessary deficiencies, thereby expediting the approval process.

This section, and the complete Registration Guide can be found in the Regulation section of the IDA’s Web Site (www.ida.ca).

TORONTO Suite 1600, 121 King Street West, Toronto, Ontario M5H 3T9 Telephone: (416) 364-6133 Fax: (416) 364-0753
CALGARY Suite 2300, 355 Fourth Avenue S.W., Calgary, Alberta T2P 0J1 Telephone: (403) 262-6393 Fax: (403) 265-4603
HALIFAX Suite 1620, TD Centre, 1791 Barrington Street, Halifax, Nova Scotia B3J 3K9 Telephone: (902) 423-8800 Fax: (902) 423-0629
MONTRÉAL Suite 2802, 1 Place Ville Marie, Montréal, Québec, H3B 4R4 Téléphone: (514) 878-2854 Télécopieur: (514) 878-3860
VANCOUVER Suite 1325, P.O. Box 11614, 650 West Georgia Street, Vancouver, B.C. V6B 4N9 Telephone: (604) 683-6222 Fax: (604) 683-3491