

## MEMBER REGULATION



INVESTMENT  
DEALERS  
ASSOCIATION  
OF CANADA



ASSOCIATION  
CANADIENNE DES  
COURTIERS EN  
VALEURS MOBILIÈRES

# notice

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**MR0149**

June 25, 2002

ATTENTION:  
Ultimate Designated Persons  
Chief Financial Officers  
Panel Auditors

### CIPF Assessment Rate

On June 12, 2002 the CIPF Board of Governors approved the following assessment rate for the **third quarter of 2002**:

**Distribute internally to:**

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

**CATEGORY**

**ASSESSMENT**

- |   |  |
|---|--|
| 1. Members that have paid CIPF assessments on 60 or fewer months of revenue         | 3/16 <sup>th</sup> of 1% of quarterly revenue with a minimum quarterly assessment of \$1,250 (\$125 for Type 1 Introdurers).   |
| 2. <b>Members that have paid CIPF assessments on more than 60 months of revenue</b> | <b>Zero assessment with no minimum quarterly assessment.</b>   |
| 3. Risk Adjustment for Members with a capital deficiency                            | Risk adjustment percentage (as provided by the SRO) multiplied by 3/16 <sup>th</sup> of 1% of quarterly revenue with a minimum quarterly risk adjustment of \$1,250 (\$125 for Type 1 Introdurers) |

Please note that assessments are determined quarterly. If required, the CIPF Board of Governors may determine an assessment rate up to 1% per annum of gross revenue in any calendar year.

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VANCOUVER Suite 1325, P.O. Box 11614, 650 West Georgia Street, Vancouver, B.C. V6B 4N9 Telephone: (604) 683-6222 Fax: (604) 683-3491

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