

## MEMBER REGULATION



INVESTMENT  
DEALERS  
ASSOCIATION  
OF CANADA



ASSOCIATION  
CANADIENNE DES  
COURTIERS EN  
VALEURS MOBILIÈRES

# notice

*Contact:*

L. Piergeti: (416) 865-3026 - [lpiergeti@ida.ca](mailto:lpiergeti@ida.ca)

M. Al-Samadi: (416) 943-6902 – [malsamadi@ida.ca](mailto:malsamadi@ida.ca)

**MR0164**

September 24, 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

### Acceptable Institutions and Acceptable Counterparties Listing

Please find attached the 2002 Domestic and Foreign Acceptable Institutions (AI) and Acceptable Counterparties (AC) listing printed September 24, 2002. This listing supercedes all previous listings.

Also attached is a supplement listing of “Basle Accord” countries and “Regulated Entities” for purposes of the AI/AC definitions.

The purpose of this list is to assist Member firms in the coding of customer accounts that meet AI or AC criteria as defined in the General Notes and Instructions to the Joint Regulatory Financial Questionnaire and Report (IDA Form #1). **This listing is not intended to be exhaustive.** Member firms are required to substantiate the net worth of any account classified as an AI or AC but not included in the attached list by providing financial statement evidence to support the AI/AC classification to their SROs and Panel Auditors upon examination of the accounts.

Member firms are advised that any changes in the financial circumstances of any counterparty listed in the attachment to this Notice, which adversely affects their status as an Acceptable Institution or Acceptable Counterparty, should be considered by the Member firm in the ongoing credit risk assessment and account categorization of its customers.

A copy of the AI/AC 2002 Listing on a Microsoft Excel spreadsheet is available upon request.

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