

MEMBER REGULATION



INVESTMENT
DEALERS
ASSOCIATION
OF CANADA



ASSOCIATION
CANADIENNE DES
COURTIERS EN
VALEURS MOBILIÈRES

notice

Contact:

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MR0174

November 13, 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

Notification of Approval/Registration

The IDA has streamlined the Notifications of Approval/Registration issued by the IDA in Ontario and the Atlantic regions.

Effective November 1, 2002, notifications issued by the IDA for Approvals / Registration of individuals in Ontario will be sent via email to the member firm and via the post to the newly approved person's residential address.

Effective November 1, 2002, notifications issued by the IDA for Approval of individuals in Nova Scotia, Newfoundland, Prince Edward Island and New Brunswick will be sent via email to the member firms. Members are to ensure a copy is provided to the applicant.

Approval Notifications provide:

- Effective Date of Approval
- Categories in which the individual has been approved
- Any Terms and Conditions imposed
- Due date for the 30 month post licensing requirement
- The individual's requirements under the IDA's Continuing Education program
- Statement of any exemptions granted, and the basis for the granting of the exemption.

Members are asked to remind their Approved Persons of the importance of reviewing and retaining the Notification of Approval/Registration.

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