

MEMBER REGULATION



INVESTMENT DEALERS
ASSOCIATION OF CANADA

notice



ASSOCIATION CANADIENNE DES
COURTIERS EN VALEURS MOBILIÈRES

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MR0235

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ATTENTION:

Ultimate Designated Persons
Chief Financial Officers
Panel Auditors

Mutual Fund Registration – Alberta

The Alberta Securities Commission has asked the IDA to amend Item 4 of the previously issued MR Notice 095- Mutual Fund Registration – Alberta.

Distribute internally to:

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

Effective immediately Members will have no specific limit on the number of RRs (restricted to dealing with existing clients dealing in mutual fund only until the 90-day training program is complete) for those registrants who:

- 1) are transferring an existing salesperson's registration from a mutual fund dealer to a member firm, and
- 2) have passed the Canadian Securities Course ("CSC") and the Conduct and Practices Handbook Examination ("CPH"), and
- 3) are in the 90-day/30-day training program.