

## MEMBER REGULATION



INVESTMENT DEALERS  
ASSOCIATION OF CANADA

# notice



ASSOCIATION CANADIENNE DES  
COURTIERS EN VALEURS MOBILIÈRES

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**MR0238**

September 8, 2003

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 2003 Domestic and Foreign Acceptable Institutions (AI) and Acceptable Counterparties (AC) listing printed August 20, 2003. 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.

We specifically direct your attention to the listing of removed AI/ACs that have been identified in our update research of the listings that no longer meet the AI/AC definition and accompanying explanation. Members must take immediate action to review this list, and the AI downgrades to AC list to ensure proper account coding for margin computations and custody arrangements.

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

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