

MEMBER REGULATION



INVESTMENT DEALERS
ASSOCIATION OF CANADA

notice



ASSOCIATION CANADIENNE DES
COURTIERS EN VALEURS MOBILIÈRES

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MR0241

September 17, 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

Supervision of Financial Planning

This is further to Member Regulation Notice MR-0239 dated September 9, 2003.

Some Members have asked whether the requirements mentioned in that notice apply equally to financial planning done by those in an employer/employee relationship with a Member.

The same supervision requirements apply with regard to employees who engage in financial planning as to agents. This is mentioned in the fourth paragraph of MR-0239 but was not emphasized sufficiently.