

MEMBER REGULATION



INVESTMENT DEALERS
ASSOCIATION OF CANADA

notice



ASSOCIATION CANADIENNE DES
COURTIERS EN VALEURS MOBILIÈRES

Contact:

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MR0269

February 10, 2004

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

Reporting of Supervisory Positions

Submissions for the following IDA approval categories need only be made to the lead jurisdiction.

Submissions for approval for the following categories should be filed with the IDA Office which handles the province in which your firm's Head Office is located:

Ultimate Designated Person
Designated Registered Options Principal
Designated Futures Contract Options Principal
Chief Financial Officer *
Chief Compliance Officer *
Sales Manager

Submissions for approval for the following categories should be filed with the IDA Office which handles the province in which the individual resides:

Alternate Designated Person
Alternate Designated Options Principal
Alternate Futures Contract Options Principal
Branch Manager
Co-Branch Manager
Assistant Branch Manager
Futures Contract Options Supervisor

** In addition to the selected IDA approval category of Chief Financial Officer or Chief Compliance Officer, applicants may also select "Chief Financial Officer" or "Chief Compliance Officer" as their officer title where applicable.*

IDA approval only needs to be granted once. When the IDA reviews registration on a non-resident basis it is only to review requirements through the applicable securities acts as permitted through a Delegation order. Given the above IDA approval categories are unique to the IDA they do not require any review under any securities act and therefore do not need to be submitted in non-lead jurisdictions. Branch Manager is listed under the securities acts as a registration category, however, review is only required in the lead jurisdiction where they are a Branch Manager. There may be exceptions to this due to circumstances where a non-resident Sales Manager, Branch Manager, Co-Branch Manager or Assistant Branch Manager has been permitted. If in doubt as how to file please contact your Registration Officer.

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

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