

## MEMBER REGULATION



INVESTMENT DEALERS  
ASSOCIATION OF CANADA

# notice



ASSOCIATION CANADIENNE DES  
COURTIERS EN VALEURS MOBILIÈRES

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**MR0290**

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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

### Branch/Sub-Branch Opening Form - Quebec

The Branch/Sub-Branch Opening Form for branches and sub-branches in Quebec has been revised to include the following:

1. # of sub-branches already supervised by the designated supervisor:
2. Frequency of visits to the sub-branch office by the designated supervisor:
3. Confirmation that the designated supervisor is aware of the requirements under Policy 2.
4. Confirmation that the designated supervisor has access to the sub-branch office records and accounts to conduct daily trade reviews.

This form is not necessary in other Provinces, where notification is done through NRD.

The updated forms are attached and can also be found on our website at [www.ida.ca](http://www.ida.ca) under *Regulation/Registration Guide*.