

## MEMBER REGULATION



INVESTMENT DEALERS  
ASSOCIATION OF CANADA

# notice



ASSOCIATION CANADIENNE DES  
COURTIERS EN VALEURS MOBILIÈRES

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**MR0318**

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ATTENTION:  
Ultimate Designated Persons  
Chief Financial Officers  
Panel Auditors

**Distribute internally to:**

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- Internal Audit
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- Operations
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### **Listing of recognized exchanges / associations for the purposes of determining entities that qualify as regulated entities**

The IDA prepares and updates on a regular basis a list of recognized exchanges and associations that meet specific criteria as stipulated in the definition of “regulated entities” in the General Notes and Definitions to the JRFQ&R).

#### **Inclusion of Euronext Amsterdam**

IDA staff have determined that Euronext Amsterdam qualifies as a recognized stock exchange under the definition of “regulated entities” for the following reasons:

- Euronext Amsterdam participating organizations which are not also credit-granting institutions must participate in the Investor Compensation Scheme. Those that are credit-granting institutions must participate in the Deposit Guarantee Scheme. An investor can claim compensation against the relevant scheme as a result of the default of a Euronext Amsterdam participating organization;
- Euronext Amsterdam participating organizations must maintain a minimum amount of capital (1.5 million francs) as set by the Netherlands Authority Financial Markets;
- Euronext Amsterdam participating organizations must segregate their clients’ cash and fully paid securities pursuant to the Act of the Supervision of the Securities Trade 1995;
- Customer accounts with Euronext Amsterdam participating organizations are covered by the Investor Compensation scheme [complying with European Parliament and Council Directive 97/9/EC of March 3, 1997 on investor-compensation schemes] in the event of insolvency; and
- Euronext Amsterdam participating organizations are subject to oversight / examination / inspection by the Netherlands Authority Financial Markets.

As a result, please find attached an updated copy of this listing of recognized exchanges and associations reflecting the inclusion of the Euronext Amsterdam. This list is effective immediately.

TORONTO Suite 1600, 121 King Street West, Toronto, Ontario, M5H 3T9 Telephone (416) 364-6133 Fax: (416) 364-0753  
MONTRÉAL Suite 2802, 1 Place Ville Marie, Montréal, Québec, H3B 4R4 Téléphone: (514) 878-2854 Télécopieur: (514) 878-3860  
HALIFAX Suite 1620, TD Centre, 1791 Barrington Street, Halifax, Nova Scotia, B3J 3K9 Telephone (902) 423-8800 Fax: (902) 423-0629  
CALGARY Suite 2300, 355 Fourth Avenue S.W., Calgary, Alberta, T2P 0J1 Telephone: (403) 262-6393 Fax: (403) 265-4603  
VANCOUVER Suite 1325, P.O. Box 11614, 650 West Georgia Street, Vancouver, B.C., V6B 4N9 Telephone: (604) 683-6222 Fax: (604) 683-3491

**LIST OF EXCHANGES AND ASSOCIATIONS THAT QUALIFY AS “RECOGNIZED EXCHANGES AND ASSOCIATIONS” UNDER THE DEFINITION OF “REGULATED ENTITIES” SET OUT IN THE GENERAL NOTES AND DEFINITIONS TO FORM 1**

[UPDATED AS AT NOVEMBER 5, 2004]

1. American Stock Exchange
2. Australian Stock Exchange
3. Boston Stock Exchange
4. TSX Venture Exchange
5. Chicago Board Options Exchange
6. Chicago Board of Trade [Note 1]
7. Chicago Mercantile Exchange [Note 1]
8. Chicago Stock Exchange
9. Euronext Amsterdam
10. Euronext Paris S.A.
11. Investment Dealers Association of Canada
12. London Stock Exchange
13. London International Financial Futures and Options Exchange [Note 2]
14. Montreal Exchange
15. National Association of Securities Dealers, Inc.
16. New York Mercantile Exchange
17. New York Stock Exchange
18. Pacific Exchange
19. Philadelphia Stock Exchange
20. The Stock Exchange of Hong Kong Ltd.
21. Toronto Stock Exchange

Note 1: For the purposes of this list and the definition of “regulated entities” a member of this exchange **must also** be a Futures Commission Merchant for the member to be considered a regulated entity.

Note 2: For the purposes of this list and the definition of “regulated entities” a member of this exchange **must also** be an entity permitted to deal with, or for, or advise clients other than other members of the exchange.