

MEMBER REGULATION



INVESTMENT DEALERS
ASSOCIATION OF CANADA

notice



ASSOCIATION CANADIENNE DES
COURTIERS EN VALEURS MOBILIÈRES

Contact:

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January 20, 2005

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

Continuing Education – New online reporting system

The Association is pleased to announce a new online reporting system for members for tracking Continuing Education (“CE”) requirements.

The online system, which will be launched shortly, will allow members to view the requirements for each Approved Person at the firm, and also to report completion of each individual’s Compliance and Professional Development requirements.

This system will be available from the Continuing Education section of the IDA’s web page (http://www.ida.ca/Regulation/ContEdu_en.asp).

Passwords, further information and launch dates will be provided via email to the individual at each firm designated as the CE contact. If your firm has not already done so, please forward the name, title, phone number and email address of the main CE contact for your firm to trhee@ida.ca

Members are asked to report any discrepancies found in the individual requirements listed in the online records. Individuals will be held responsible for completing the listed CE requirements and non-completion penalty provisions will be invoked in January 2006 as delineated in IDA Policy 6, Part III.

