

MEMBER REGULATION



INVESTMENT DEALERS
ASSOCIATION OF CANADA

notice



ASSOCIATION CANADIENNE DES
COURTIERS EN VALEURS MOBILIÈRES

Contact:

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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

Implementation of By-law 40 Revisions

Revisions to By-law 40 to effect Quebec's joining NRD have been implemented as reported in IDA Bulletin 3394.

Since these revisions were passed the Autorité des marchés financiers (AMF) has decided on a different process for reporting changes of category than outlined in revised By-law 40.13(4). Such changes may be submitted on a Form 33-109F2 in paper form and a completed Form 33-109F4 through NRD filed within 15 business days of the date the paper filing was received by the Quebec IDA office.

In order to be consistent with the AMF process, the Association will also accept that form of filing of such changes.