

## MEMBER REGULATION



INVESTMENT DEALERS  
ASSOCIATION OF CANADA

# notice



ASSOCIATION CANADIENNE DES  
COURTIERS EN VALEURS MOBILIÈRES

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**ATTENTION:**

Ultimate Designated Persons  
Chief Financial Officers  
Chief Compliance 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

### **FINTRAC Publishes Revised Anti-Money Laundering Guidance Document for Securities Dealers**

The Financial Transactions and Reports Analysis Centre of Canada has posted an updated version of “Guideline 6E: Record Keeping and Client Identification for Securities Dealers” to its public website.

The English language web html version can be found at:

[http://www.fintrac.gc.ca/publications/guide/guide6/6E\\_e.asp](http://www.fintrac.gc.ca/publications/guide/guide6/6E_e.asp)

And the French language html version at:

[http://www.fintrac.gc.ca/publications/guide/guide6/6E\\_f.asp](http://www.fintrac.gc.ca/publications/guide/guide6/6E_f.asp)

The Adobe PDF versions can be found here:

[http://www.fintrac.gc.ca/publications/guide/guide6/6E\\_e.pdf](http://www.fintrac.gc.ca/publications/guide/guide6/6E_e.pdf) (English) and  
[http://www.fintrac.gc.ca/publications/guide/guide6/6E\\_f.pdf](http://www.fintrac.gc.ca/publications/guide/guide6/6E_f.pdf) (French).

The guideline is provided as general information only and is not legal advice, nor is it intended to replace the *Proceeds of Crime (Money Laundering) and Terrorist Financing Act and Regulations*.