

1.1.4 Notice of Commission Approval – MFDA Policy No. 6, Amendments to MFDA Rule 1.2.5 and Consequential Amendments

MUTUAL FUND DEALERS ASSOCIATION OF CANADA

**MFDA POLICY NO. 6 REGARDING
INFORMATION REPORTING REQUIREMENTS,
AMENDMENTS TO MFDA RULE 1.2.5 REGARDING
NOTIFICATION OF CHANGE IN
REGISTRATION INFORMATION
AND CONSEQUENTIAL AMENDMENTS**

NOTICE OF COMMISSION APPROVAL

The Ontario Securities Commission has approved the MFDA's proposal to implement MFDA Policy No. 6, repeal and replace MFDA Rule 1.2.5, amend MFDA Policy No. 3 and repeal MFDA Rule 1.2.6 regarding information reporting requirements, notification of changes in registration information and consequential amendments. In addition, the Alberta Securities Commission, Nova Scotia Securities Commission and Saskatchewan Financial Services Commission approved, and the British Columbia Securities Commission did not object to the amendments. The amendments consolidate many of the MFDA's reporting requirements into a single instrument, expand the scope of matters that members and approved persons must report, and require electronic reporting of enforcement and compliance information.

The proposed amendments were published for comment on October 27, 2006 at (2006) 29 OSCB 8527. Some immaterial changes have been made to MFDA Policy No. 6 since the time the amendments were originally published and a copy of MFDA Policy No. 6, blacklined to highlight the changes from the previously published version, is being republished in Chapter 13 of this Bulletin. A summary of the comments received and the MFDA's response are also published in Chapter 13.