

## Chapter 13

# SROs, Marketplaces, Clearing Agencies and Trade Repositories

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### 13.1 SROs

#### 13.1.1 Mutual Fund Dealers Association of Canada (MFDA) – Amendment to MFDA By-Law No. 1 Section 24.A (Ombudservice) – Notice of Commission Approval

##### NOTICE OF COMMISSION APPROVAL

##### MUTUAL FUND DEALERS ASSOCIATION OF CANADA (MFDA)

##### AMENDMENT TO MFDA BY-LAW NO. 1 SECTION 24.A (OMBUDSERVICE)

The Ontario Securities Commission has approved the proposed amendment to section 24.A of the MFDA's By-law No. 1 (Amendment). The Amendment deletes subsection 24.A.4 of the MFDA's By-law No. 1 to remove the potential for inconsistency with section 16.5 of the Terms of Reference of the Ombudsman for Banking Services and Investments (OBSI). The Amendment ensures that the provision of information by OBSI to the MFDA is governed by the OBSI Terms of Reference and clarifies OBSI's ability to provide information to the MFDA.

The Amendment was published for public comment on March 28, 2019. Two public comment letters were received. A summary of the public comments and the MFDA's responses can be found at <http://osc.gov.on.ca>. The Amendment will be effective on a date to be subsequently determined by the MFDA.

In addition, the British Columbia Securities Commission; the Alberta Securities Commission; the Financial and Consumer Affairs Authority of Saskatchewan; the Financial and Consumer Services Commission of New Brunswick; the Manitoba Securities Commission; the Nova Scotia Securities Commission; the Office of the Superintendent of Securities, Service Newfoundland and Labrador; and the Prince Edward Island Office of the Superintendent of Securities Office have either not objected to or have approved the Amendment.