

Chapter 13

SROs, Marketplaces, Clearing Agencies and Trade Repositories

13.1 SROs

13.1.1 Mutual Fund Dealers Association of Canada (MFDA) – Proposed Amendments to MFDA Rule 1.1.2 (Compliance by Approved Persons) – Extension of Request for Comment

EXTENSION OF REQUEST FOR COMMENT

MUTUAL FUND DEALERS ASSOCIATION OF CANADA (MFDA)

PROPOSED AMENDMENTS TO MFDA RULE 1.1.2 (COMPLIANCE BY APPROVED PERSONS)

Proposed amendments that expressly require compliance with applicable securities legislation relating to the operations, standards of practice and business conduct of MFDA Members and Approved Persons were published in the OSC Bulletin on January 30, 2020. Due to COVID-19, the comment period has been extended by 45 days and now expires on June 15, 2020, rather than April 29, 2020.

Comments should be made in writing. One copy of each comment letter should be delivered on or before June 15, 2020, addressed to the attention of:

Paige Ward
General Counsel, Corporate Secretary and Vice-President, Policy
Mutual Fund Dealers Association of Canada
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and one copy addressed to the attention of:

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