

13.1.2 OSC Staff Notice of Request for Comment – Proposed Amendments to MFDA Rules 2.8.3 (Rates of Return), 5.3 (Client Reporting) and 5.4 (Trade Confirmations)

OSC STAFF NOTICE OF REQUEST FOR COMMENT

MUTUAL FUNDS DEALERS ASSOCIATION OF CANADA (MFDA)

AMENDMENTS TO MFDA RULES 2.8.3 (RATES OF RETURN), 5.3 (CLIENT REPORTING) AND 5.4 (TRADE CONFIRMATIONS)

The MFDA and British Columbia Securities Commission (“BCSC”) are publishing for public comment proposed amendments to MFDA Rules 2.8.3 (Rates of Return), 5.3 (Client Reporting) and 5.4 (Trade Confirmations). The objective of the above-noted amendments is to conform MFDA Rules to requirements introduced into National Instrument 31-103 *Registration Requirements, Exemptions and Ongoing Registrant Obligations* (“NI 31-103”) in the areas of: client statements, charges and compensation disclosure and performance reporting. The amendments to NI 31-103 came into force on July 15, 2013.

A copy of the MFDA Notice including the amended documents was also published on our website at <http://www.osc.gov.on.ca>.