



Mutual Fund Dealers Association of Canada
Association canadienne des courtiers de fonds mutuels
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MFDA Bulletin

Membership Information

For Distribution to Relevant Parties within your Firm

2004/2005 Financial Filing Deadlines

Effective October 1, 2004, the MFDA's Membership Services Department will no longer issue reminder letters to MFDA Members concerning their financial filing requirements.

Members are reminded that, unless they are specifically subject to earlier time periods due to the imposition of early warning requirements, they are required to file an unaudited Financial Questionnaire and Report with the MFDA **no later than 20 business days after the month end** and audited financial statements and an audited Financial Questionnaire and Report **no later than 90 days after the Member's fiscal year end.**

MFDA Rule 3.5.5(b) provides for the levy of fines or assessments for the failure of a Member or its auditor to file any report, form or financial statements required under MFDA Rule 3. As of December 1, 2003, the MFDA commenced imposing fees for late filing of information in the amounts prescribed in the attached Schedule A.

Attached as Schedule B is a schedule outlining financial filing deadlines for 2004/2005.

(doc #42509)

SCHEDULE A

MUTUAL FUND DEALERS ASSOCIATION OF CANADA

ASSESSMENTS FOR LATE FILING

	Name of Filing	Filing Deadline	Fine
1.	Annual Audited Financial Questionnaire and Report and Audited Financial Statements	Within 90 days of Member's fiscal year end	\$250/business day
2.	Unaudited Financial Questionnaire and Report	Within 20 business days of the month end. Earlier filing deadlines apply to those subject to early warning.	\$100/business day
3.	Any other form or report requested by the Corporation under Rule 3.	As determined by the Corporation	\$100/business day

SCHEDULE B

MUTUAL FUND DEALERS ASSOCIATION OF CANADA

2004/2005 FINANCIAL FILING DEADLINES

UNAUDITED FINANCIAL QUESTIONNAIRE AND REPORT		AUDITED FINANCIAL QUESTIONNAIRE AND REPORT AND AUDITED FINANCIAL STATEMENTS	
MONTH ENDING	DUE	FISCAL YEAR ENDING	DUE
September 30, 2004	October 29, 2004	September 30, 2004	December 29, 2004
October 31, 2004	November 26, 2004	October 31, 2004	January 29, 2005
November 30, 2004	December 30, 2004	November 30, 2004	February 28, 2005
December 31, 2004	January 31, 2005	December 31, 2004	March 31, 2005
January 31, 2005	February 28, 2005	January 31, 2005	May 2, 2005
February 28, 2005	March 29, 2005	February 28, 2005	May 30, 2005
March 31, 2005	April 28, 2005	March 31, 2005	June 29, 2005
April 30, 2005	May 30, 2005	April 30, 2005	July 29, 2005
May 31, 2005	June 28, 2005	May 31, 2005	August 29, 2005
June 30, 2005	July 29, 2005	June 30, 2005	September 28, 2005
July 31, 2005	August 29, 2005	July 31, 2005	October 31, 2005
August 31, 2005	September 29, 2005	August 31, 2005	November 29, 2005
September 30, 2005	October 31, 2005	September 30, 2005	December 29, 2005
October 31, 2005	November 28, 2005	October 31, 2005	January 30, 2006
November 30, 2005	December 30, 2005	November 30, 2005	February 28, 2006
December 31, 2005	January 30, 2006	December 31, 2005	March 31, 2006

The above dates have been determined taking into consideration Canadian statutory holidays. Should there be provincial statutory holidays that the Member observes (i.e. the Member is closed for business on that day), the deadline may be adjusted to reflect these holidays.