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# MFDA Bulletin

## Compliance

**For Distribution to Relevant Parties within your Firm**

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### **Exclusive Capital Corporation**

MFDA staff has become aware that Calgary-based Exclusive Capital Corporation is offering to assist financial planners in distributing exempt (“Off Book”) securities.

Members and Approved Persons are reminded that if Approved Persons wish to trade and advise in exempt securities promoted or offered by Exclusive Capital Corporation, they can only do so through their Member firm in accordance with MFDA Rule 1.1.1. If the Member is not prepared to put those securities on its approved product list and allow them to be sold through the dealer, then an Approved Person cannot advise on, trade in or be compensated for the sale of those securities.

Reference: MFDA Rule 1.1.1

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