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MFDA Bulletin

Policy

For Distribution to Relevant Parties within your Firm

Revised FINTRAC Guideline 6E: Record Keeping and Client Identification for Securities Dealers

The Financial Transactions and Reports Analysis Centre of Canada has released a revised version of *Guideline 6: Record Keeping and Client Identification*, aimed at assisting securities dealers (including mutual fund dealers) in meeting their record keeping and client identification obligations.

The Guideline can be accessed at http://www.fintrac.gc.ca/publications/guide/guide6/6E_e.asp

The updated version replaces the previous version of *Guideline 6: Record Keeping and Client Identification for Securities Dealers* issued in June 2002. It uses plain language to explain the most common situations under the *Proceeds of Crime (Money Laundering) and Terrorist Financing Act* as well as the related Regulations. It is provided as general information only, it does not constitute legal advice, and is not intended to replace the Act and Regulations.

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