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# MFDA Bulletin

## Policy

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

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### **MineralFields Group**

MFDA staff has been advised that Approved Persons may be directly selling exempt securities offered by Toronto-based MineralFields Group.

Members and Approved Persons are reminded that if Approved Persons wish to trade and advise in exempt securities promoted or offered by MineralFields Group, 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.

Approved Persons are also reminded that referral arrangements that involve securities related business must be done in accordance with MFDA Rules. For information regarding referrals for specific securities, Members and Approved Persons are directed to Member Regulation Notice MR-0043 – *Referral Arrangements in Respect of Specific Securities*.

Members must communicate the requirements of this Bulletin to their Approved Persons.

Reference: MFDA Rule 1.1.1