



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

Contact: Ken Woodard
Director, Communications & Membership Services
Phone: 416-943-4602
E-mail: kwoodard@mfd.ca

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MFDA Bulletin

Membership Information

For Distribution to Relevant Parties within your Firm

2007/2008 Financial Filing Deadlines

Members are reminded that, unless they are subject to earlier filing deadlines due to 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 2007/2008.

(doc #120727)

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

2007/2008 FINANCIAL FILING DEADLINES

UNAUDITED FINANCIAL QUESTIONNAIRE AND REPORT		AUDITED FINANCIAL QUESTIONNAIRE AND REPORT AND AUDITED FINANCIAL STATEMENTS	
MONTH ENDING	DUE	FISCAL YEAR ENDING	DUE
December 31, 2007	January 29, 2008	December 31, 2007	March 31, 2008
January 31, 2008	February 28, 2008	January 31, 2008	April 30, 2008
February 29, 2008	March 31, 2008	February 29, 2008	May 29, 2008
March 31, 2008	April 28, 2008	March 31, 2008	June 30, 2008
April 30, 2008	May 29, 2008	April 30, 2008	July 29, 2008
May 31, 2008	June 27, 2008	May 31, 2008	August 29, 2008
June 30, 2008	July 29, 2008	June 30, 2008	September 29, 2008
July 31, 2008	August 29, 2008	July 31, 2008	October 29, 2008
August 31, 2008	September 29, 2008	August 31, 2008	December 1, 2008
September 30, 2008	October 29, 2008	September 30, 2008	December 29, 2008
October 31, 2008	November 28, 2008	October 31, 2008	January 29, 2009
November 30, 2008	December 30, 2008	November 30, 2008	March 2, 2009
December 31, 2008	January 29, 2009	December 31, 2008	March 31, 2009

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.