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# MFDA Bulletin

## Compliance

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

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### **Additional Financial Reporting Requirements**

MFDA Rule 3.5.1(a) requires each Member to file monthly with the MFDA financial information of the Member within 20 business days of the month's end. The financial information must be reported in the Financial Questionnaire and Report ("FQR") format and filed using the MFDA's web-based application, the Electronic Filing System ("EFS"). In addition, Rule 3.5.1(a) states that the financial reports may be accompanied by such other information as may be prescribed by the MFDA from time to time.

Given the recent volatility in the capital markets over the past couple of weeks, the MFDA is requesting all Members holding securities that form part of the Members' regulatory capital to provide supplemental information to the MFDA supporting the securities held and reported on Schedule 1 of the FQR. Members are required to provide the specific names and details of the securities owned and sold short, that coincide with the balances reported on Schedule 1 of the Members' August 2008 monthly FQR. In addition, if there have been any significant changes in the Members' securities holdings since August 31, 2008, Members are asked to provide details of those changes as well. The information is to be submitted by the due date of the August 31, 2008 FQR which is **September 29, 2008**.

In order to comply with the above request, Members may choose to provide the information in the following format:

- Submit a copy of the Member's corporate account statement provided by the custodian as at August 31, 2008; or
- List the specific details of investments held as at August 31, 2008 (i.e. issuer's name, specific mutual fund name, class of shares, maturity date of bond); and
- List of securities holdings as at September 26, 2008, that differ from those held as at August 31, 2008.

Please submit the requested supplemental information through email by logging onto EFS and clicking on “Filing Support” on the toolbar on the left-hand side of the web-page, or by faxing the information directly to Financial Compliance at 416-362-6382.

This information will be reviewed by Financial Compliance staff at the time of reviewing the Member’s financial report for the month of August 2008. Further information relating to the Member’s investment holdings and related capital position may be requested following staff’s review of the financial report and supplemental information.

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