



Contact: Shaun Devlin
Vice-President, Enforcement
Phone: (416) 943-4672
E-mail: sdevlin@mfd.ca

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MFDA Bulletin

Policy

For Distribution to Relevant Parties within your Firm

MFDA Policy No. 3 Complaint Handling, Supervisory Investigations and Internal Discipline

Proposed amendments to MFDA Policy No. 3 *Complaint Handling, Supervisory Investigations and Internal Discipline*, which were originally published for comment on July 13, 2007, are being republished as a result of additional changes made in response to comments received during the first comment period. The MFDA has also revised the proposed amendments to reflect consultations between the Canadian Securities Administrators, MFDA and Investment Industry Regulatory Organization of Canada (“IIROC”) with a view to harmonizing the complaint handling requirements of the MFDA with those proposed by IIROC and requirements to be adopted in National Instrument 31-103 *Registration Requirements*.

Comments should be made in writing prior to **May 12, 2009**. One copy of each comment letter should be addressed to the attention of the Corporate Secretary, Mutual Fund Dealers Association of Canada, 121 King St. West, Suite 1000, Toronto, Ontario, M5H 3T9 and one copy addressed to the attention of Sarah Corrigan-Brown, Senior Legal Counsel, British Columbia Securities Commission, 701 West Georgia Street, P.O. Box 10142, Pacific Centre, Vancouver, British Columbia, V7Y 1L2.

Those submitting comment letters should be aware that a copy of their comment letter will be made publicly available on the MFDA website at www.mfda.ca.

To view the current revisions to the proposed amendments and other related documents, please go to: <http://www.mfda.ca/regulation/propamend.html> .

To view the Summary of Comments received after the first comment period, with MFDA responses, please go to: <http://www.mfda.ca/regulation/propAmend/SummaryPolicy3.pdf> .

The proposed amendments may also be viewed on the British Columbia Securities Commission website at: http://www.bcsc.bc.ca/uploadedFiles/MFDA_Policy_No3_March_13_2009.pdf .

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