



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

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# MFDA Bulletin

## Compliance

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

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### **Policies and Procedures Manual Reference Guide**

The MFDA has prepared a reference guide to assist Members in the development of adequate written policies and procedures. This guide will be updated regularly to reflect changes to regulatory requirements and is accessible on the MFDA website.

MFDA Rule 2.10 requires each Member to establish and maintain written policies and procedures, approved by senior management, for dealing with clients and ensuring compliance with Rules, By-laws and Policies of the MFDA and applicable securities legislation. These policies and procedures must be set out in a Policies and Procedures Manual (“PPM”) or manuals. On March 16, 2001, MFDA staff issued Member Regulation Notice MR-0008 – “Policies and Procedures Manual” that provided guidance on the topics that should be included in a Member’s PPM. However, since the issuance of this Notice, there have been a number of changes to regulatory requirements that impact a Member’s operational and administrative procedures.

The reference guide is intended to assist Members in complying with their obligations under MFDA Rule 2.10. It is recommended that Members use the reference chart in conjunction with the MFDA Rules, Policies and Member Regulation Notices to identify any gaps in their written policies and procedures and update their written procedures accordingly.

The Reference Guide can be found on the Forms page of the MFDA website at [http://www.mfda.ca/regulation/forms/PPM\\_reference.pdf](http://www.mfda.ca/regulation/forms/PPM_reference.pdf).

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