



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

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MFDA Bulletin

Membership Information

For Distribution to Relevant Parties within your Firm

2010 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 2010.

(DM Doc #186486)

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
2010 FINANCIAL FILING DEADLINES

UNAUDITED FINANCIAL QUESTIONNAIRE AND REPORT		AUDITED FINANCIAL QUESTIONNAIRE AND REPORT AND AUDITED FINANCIAL STATEMENTS	
MONTH ENDING	DUE	FISCAL YEAR ENDING	DUE
January 31, 2010	February 26, 2010 ¹	January 31, 2010	May 3, 2010
February 28, 2010	March 26, 2010	February 28, 2010	May 31, 2010
March 31, 2010	April 29, 2010	March 31, 2010	June 29, 2010
April 30, 2010	May 31, 2010	April 30, 2010	July 29, 2010
May 31, 2010	June 28, 2010 ²	May 31, 2010	August 30, 2010
June 30, 2010	July 29, 2010	June 30, 2010	September 28, 2010
July 31, 2010	August 30, 2010 ³	July 31, 2010	October 29, 2010
August 31, 2010	September 29, 2010	August 31, 2010	November 29, 2010
September 30, 2010	October 29, 2010	September 30, 2010	December 29, 2010
October 31, 2010	November 26, 2010 ⁴	October 31, 2010	January 29, 2011
November 30, 2010	December 30, 2010	November 30, 2010	February 28, 2011
December 31, 2010	January 31, 2011	December 31, 2010	March 31, 2011

The above dates take into consideration all national and provincial statutory holidays.

¹ March 1, 2010 for Members with head offices located in the provinces of Ontario, Manitoba, Alberta and Saskatchewan.

² June 29, 2010 for Members with head offices located in the province of Quebec.

³ August 27, 2010 for Members with head offices located in the province of Quebec.

⁴ November 29, 2010 for Members with head offices located in British Columbia, Alberta, Saskatchewan, Quebec, Prince Edward Island and Newfoundland.