



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

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MFDA Bulletin

Compliance

Leverage Guide, Leverage Review Worksheet & Approved Person Leveraging Analysis Template

For Distribution to Relevant Parties within your Firm

On April 14, 2008, MFDA staff issued Member Regulation Notice MR-0069 – “Suitability Guidelines” which provided guidance on assessing the suitability of leveraging.

To further assist Members in complying with their suitability obligation, the MFDA has prepared a Leveraging Supervision Guide. The Guide is intended to assist Members in developing adequate policies and procedures and supervisory practices regarding leverage recommendations. In addition, the Guide includes tools which can be used to review assess and approve specific leverage recommendations and review Approved Person leverage activity.

The guide and the tools can be found on the Members Only Site or the Forms page of the MFDA website at: http://www.mfda.ca/regulation/forms/Leverage_Guide.pdf.

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