

1.1.2 Notice of Commission Approval - Proposed Amendments to IDA By-Law 38 and Policy 6, Part I - Chief Compliance Officer Qualifying Examination

NOTICE OF COMMISSION APPROVAL -
PROPOSED AMENDMENTS TO
IDA BY-LAW 38 AND POLICY 6, PART I -
CHIEF COMPLIANCE OFFICER
QUALIFYING EXAMINATION

THE INVESTMENT DEALERS ASSOCIATION
OF CANADA (IDA)

PROPOSED AMENDMENTS TO
BY-LAW 38 AND POLICY 6, PART I -
CHIEF COMPLIANCE OFFICER
QUALIFYING EXAMINATION

NOTICE OF COMMISSION APPROVAL

The Ontario Securities Commission approved proposed amendments to IDA By-law 38 and Policy 6, Part I - Chief Compliance Officer Qualifying Examination. The proposed amendments will establish standards for the qualification of CCOs and registration approval of such persons at member firms. The proposed CCO Exam will establish a standard of professional competence for the CCO position. A copy and description of the proposed amendments were published on October 27, 2006, at (2006) 29 OSCB 8547. The IDA received no comment letters, and so no changes were required.