

Possible Options for the Incorporation of Individual Sales Representatives of Registered Dealers and Advisers

A working group of provincial/territorial government officials has been struck to work with industry, provincial/territorial securities regulators, self-regulatory organizations and other stakeholders to explore options for the incorporation of individual sales representatives of registered dealers and advisers, and any impact on investor protection.

The working group is seeking public input through a discussion paper which sets out possible options for the incorporation of individual sales representatives of registered dealers and advisers. Feedback will assist in informing any future policy development.

Responses to the consultation paper are requested by February 25, 2011.

The consultation paper is available on the Alberta Ministry of Finance and Enterprise website and can be viewed at: <http://www.finance.alberta.ca/publications/other/2010-1220-consultation-incorporation-dealers.pdf>

If you have any questions, please direct them to the Alberta Ministry of Finance and Enterprise. Contact information is available in the consultation paper.

The consultation paper is also available in French on the Quebec Finance website and can be viewed at: <http://www.finances.gouv.qc.ca/fr/page.asp?sectn=2&contn=401>

For more information on securities regulation in Canada, visit the Securities Canada website at: <http://www.securitiescanada.org/>