



## Table of MFDA Rule Amendments

Section	Title	Amendment	Date	Bulletin No.
1.1.1	Business Structures	(a)(i) amended; (a)(ii) added	7-Jan-04	<a href="#">0050-M</a>
1.1.3	Service Arrangements	(a) amended	5-Dec-03	<a href="#">0050-M</a>
1.1.6	Introducing and Carrying Arrangement	(a)(iv) amended; (b)(viii)(ix) amended; (x) added; (x)(xi) renumbered	5-Dec-03	<a href="#">0050-M</a>
		(b)(viii) amended; (ix) amended; (x) amended; (xi) amended; (xii) renumbered to xiii; (xii) added	3-Dec-10	<a href="#">0458-P</a>
		(b)(viii) end of transition period	28-Sep-11	<a href="#">0492-P</a>
1.1.7	Business Names, Styles, Etc.	(d) amended	5-Dec-03	<a href="#">0050-M</a>
		amended	22-Nov-04	<a href="#">0114-P</a>
		amended	26-Nov-08	<a href="#">0344-P</a>
1.2.1	Course Requirements	(a) removed	3-Dec-10	<a href="#">0458-P</a>
	Salespersons	(b) renumbered; (c) renumbered; (d) renumbered; (e) renumbered;	3-Dec-10	<a href="#">0458-P</a>
		(a) renamed, renumbered; (b) renumbered; (c) removed; (d) renumbered	17-Mar-16	<a href="#">0683-P</a>
	Compliance with MFDA Requirements	renamed	17-Mar-16	<a href="#">0683-P</a>
1.2.2	Branch Managers - Proficiency Requirements	(a) amended	5-Dec-03	<a href="#">0050-M</a>
	Branch Managers	removed	3-Dec-10	<a href="#">0458-P</a>
	Reporting Requirements	added	3-Dec-10	<a href="#">0458-P</a>
		renumbered to 1.4	17-Mar-16	<a href="#">0683-P</a>
	Registration	added	17-Mar-16	<a href="#">0683-P</a>
1.2.3	Trading Partners, Directors, Officers and Compliance Officers	removed	3-Dec-10	<a href="#">0458-P</a>
	Education, Training and Experience	added	17-Mar-16	<a href="#">0683-P</a>
1.2.4	Currency of Courses	(a) amended, renumbered; (a)(i) added; (a)(ii) added; (b) amended, renumbered	8-Jan-07	<a href="#">0246-P</a>

Section	Title	Amendment	Date	Bulletin No.
	Currency of Courses	removed	3-Dec-10	<a href="#">0458-P</a>
	Training and Supervision	added	17-Mar-16	<a href="#">0683-P</a>
1.2.5	Notification of Changes in Registration Information	Amended	20-Jun-07	<a href="#">0265-P</a>
	Reporting Requirements	renamed, amended	3-Jul-07	<a href="#">0266-P</a>
		renumbered to 1.2.2	3-Dec-10	<a href="#">0458-P</a>
	Misleading Business Titles Prohibited	added	17-Mar-16	<a href="#">0683-P</a>
1.2.6	Notification of Termination of Approved Persons	added	9-Feb-04	<a href="#">0058-M</a>
		amended	20-Jun-07	<a href="#">0265-P</a>
		removed	3-Jul-07	<a href="#">0266-P</a>
1.3	Outside Activity	added	17-Mar-16	<a href="#">0683-P</a>
1.3.1	Definition	added	17-Mar-16	<a href="#">0683-P</a>
1.3.2	Requirements for Outside Activity	added	17-Mar-16	<a href="#">0683-P</a>
1.4	Reporting Requirements	renumbered from 1.2.2	17-Mar-16	<a href="#">0683-P</a>
2.1.4	Conflicts of Interest	(a) amended; (b) amended, renumbered; (c) amended, renumbered; (d) renumbered	27-Feb-06	<a href="#">0186-P</a>
2.2.1	"Know-Your-Client"	(c) amended; (d) added	5-Dec-03	<a href="#">0050-M</a>
		preamble amended	13-Dec-05	<a href="#">0178-P</a>
		(b) amended; (c) amended; (d)amended; (e) added; (f) added	3-Dec-10	<a href="#">0459-P</a>
		end of transition period	3-Dec-11	<a href="#">0505-P</a>
		(c) amended; (d) amended; (e) amended; (f) added	22-Feb-13	<a href="#">0560-P</a>
2.2.2	New Accounts	title amended; (a) added; (b) amended	3-Dec-10	<a href="#">0458-P</a>
2.2.3	New Account Approval	amended	5-Dec-03	<a href="#">0050-M</a>
		amended	3-Dec-10	<a href="#">0458-P</a>
2.2.4	Updating Know Your Client Information	title amended; (a) added; (b) renumbered, amended; (c) added; (d) added; (e) renumbered, amended	3-Dec-10	<a href="#">0458-P</a>
	Updating Client Information	end of transition period	3-Dec-11	<a href="#">0505-P</a>

Section	Title	Amendment	Date	Bulletin No.
2.2.5	Relationship Disclosure	added	3-Dec-10	<a href="#">0458-P</a>
		end of transition period	28-Sep-11	<a href="#">0492-P</a>
		end of transition period	3-Dec-13	<a href="#">0492-P</a>
		(f) amended, (g) amended, (h) added	15-Jul-14	<a href="#">0606-P</a>
		(h) renumbered to (i); (h) added	19-Dec-14	<a href="#">0623-P</a>
2.3	Power of Attorney/LTA	Renamed to <i>Control or Authority</i>	19-Jan-17	<a href="#">0712-P</a>
2.3.1	Power of Attorney/LTA	(b) added	5-Dec-03	<a href="#">0050-M</a>
		(a) amended; (b) amended	11-Dec-08	<a href="#">0346-P</a>
2.3.1	Control or Authority	(a) amended; (b) amended; (c) amended	19-Jan-17	<a href="#">0712-P</a>
2.3.4	No Discretionary Trading	removed	11-Dec-08	<a href="#">0346-P</a>
2.4.1	Remuneration, Commissions and Fees	(a) amended; (b) added; (c) added	29-Mar-10	<a href="#">0429-P</a>
2.4.2	Referral Arrangements	amended	08-Apr-15	<a href="#">0637-P</a>
2.4.3	Service Fees or Charges	renamed to <i>Operating Charges</i> ; (a) amended;	19-Dec-14	<a href="#">0623-P</a>
2.4.4	Transaction Fees or Charges	added	22-Feb-11	<a href="#">0466-P</a>
		amended, (a) added, (b) added, (c) added	30-May-14	<a href="#">0606-P</a>
		amended; (a) amended; (b) amended; (c) amended	19-Dec-14	<a href="#">0623-P</a>
2.5.2	Chief Compliance Officer	title amended; renumbered to 2.5.3; (a) amended; (b) amended; (c) amended	3-Dec-10	<a href="#">0458-P</a>
2.5.2	Ultimate Designated Person	added	3-Dec-10	<a href="#">0458-P</a>
2.5.2	Compliance Officer	renumbered to 2.5.3; amended	3-Dec-10	<a href="#">0458-P</a>
2.5.3	Branch Manager	renumbered to 2.5.5; (a) amended; (b) added; (c) added; (d) amended; (e) amended	3-Dec-10	<a href="#">0458-P</a>
2.5.4	Maintenance of Supervisory Review Documentation	renumbered to 2.5.7	3-Dec-10	<a href="#">0458-P</a>
2.5.4	Access to Board	added	3-Dec-10	<a href="#">0458-P</a>
2.5.5	No Delegation	renumbered to 2.5.8	3-Dec-10	<a href="#">0458-P</a>

Section	Title	Amendment	Date	Bulletin No.
	Branch Manager	(a) amended; (b) renumbered to (d); (b) added; (c) added; (d) amended; (e) amended; (f) amended; (g) amended	12-Sep-13	<a href="#">0576-P</a>
2.5.6	Currency of Examination	added	3-Dec-10	<a href="#">0458-P</a>
2.8.3	Rates of Return	(b) added	5-Dec-03	<a href="#">0050-M</a>
		(a) amended; (b) added; (c) renumbered, amended	3-Dec-10	<a href="#">0458-P</a>
		(a) amended; (c) removed	15-Jul-16	<a href="#">0623-P</a>
2.11	Complaints	amended	3-Dec-10	<a href="#">0458-P</a>
2.12	Transfers of Account	2.12.1(a); 2.12.2 amended	5-Dec-03	<a href="#">0050-M</a>
2.13	Disclosure of MFDA Membership	added	12-Apr-18	<a href="#">0747-P</a>
3.1.1	Minimum Levels	(a) renumbered, amended; (b) added	21-Jan-11	<a href="#">0462-P</a>
3.2.1	Client Lending and Margin	amended	5-Dec-03	<a href="#">0050-M</a>
3.2.2	Member Capital	(a) amended; (b) added	1-Dec-06	<a href="#">0240-P</a>
3.2.5	Notice Regarding Accelerated Payment of Long Term Debt	added	1-Dec-06	<a href="#">0240-P</a>
3.3.2	Segregation of Client Property – Cash	(e), (f), (g), (h) removed; (e) added	30-Apr-12	<a href="#">0524-P</a>
3.4.2	Early Warning	(b)(vi) amended	5-Dec-03	<a href="#">0050-M</a>
		(b)(ii)(C) amended	11-Dec-08	<a href="#">0346-P</a>
3.4.3	Restrictions	amended	11-Dec-08	<a href="#">0346-P</a>
3.4.4	Early Warning - Duration	amended	20-Aug-04	<a href="#">0093-P</a>
3.5.1	Filing Requirements	amended	13-Sep-04	<a href="#">0097-P</a>
3.5.2	Consolidated Financial Statements	amended	11-Dec-08	<a href="#">0346-P</a>
3.5.3	Related Members	removed	11-Dec-08	<a href="#">0346-P</a>
3.5.4	Members' Auditors	renumbered to 3.5.3; (b) amended	11-Dec-08	<a href="#">0346-P</a>
3.5.5.	Assessments	renumbered to 3.5.4	11-Dec-08	<a href="#">0346-P</a>
3.6.1	Audit Requirements	amended	11-Dec-08	<a href="#">0346-P</a>
3.6.2	Scope	(a) amended; (b) amended	11-Dec-08	<a href="#">0346-P</a>
3.6.3	Insurance and Subsequent Events	renamed to <i>Additional Reporting</i>	11-Dec-08	<a href="#">0346-P</a>
3.6.4	Systems Review	amended	11-Dec-08	<a href="#">0346-P</a>

Section	Title	Amendment	Date	Bulletin No.
3.6.5	Retention	amended	11-Dec-08	<a href="#">0346-P</a>
3.6.7	Reliance	amended	11-Dec-08	<a href="#">0346-P</a>
4.1	Mail Insurance	amended	5-Dec-03	<a href="#">0050-M</a>
4.2	Notice of Termination	amended	11-Dec-08	<a href="#">0346-P</a>
4.3	Termination or Cancellation	amended	11-Dec-08	<a href="#">0346-P</a>
4.7	Global Financial Institution Bonds	(b) amended	11-Dec-08	<a href="#">0346-P</a>
5.1	Requirement for Records	(b)(iv) added	22-Feb-11	<a href="#">0466-P</a>
5.3	Client Reporting	(1) definitions added	15-Jul-15	<a href="#">0623-P</a>
		Extension of transition period	31-Dec-15	<a href="#">0640-P</a>
		(1) amended; (j) added; (k-m) renumbered	29-Jun-15	<a href="#">0649-P</a>
		End of transition period	31-Dec-15	<a href="#">0649-P</a>
5.3 (1)	Definitions	5.3(1)(c) amended; 5.3(1)(c)(i) amended; 5.3(1)(c)(ii) amended; 5.3(1)(c)(iii) amended. 5.3(1)(j) deleted; (k) to (m) renumbered	4-Jan-18	<a href="#">0738-P</a>
5.3.1	Delivery of Account Statement	(a)(b)(c) renumbered as (a)(i)(ii)(iii); (c)(d) added	13-Jan-04	<a href="#">0050-M</a>
		(a) amended; (c)(vii) amended	3-Dec-10	<a href="#">0458-P</a>
		(a) amended	2-Mar-12	<a href="#">0521-P</a>
		amended; (a) to (d) removed	19-Dec-14	<a href="#">0623-P</a>
5.3.2	Automatic Payment Plans	deleted	2-Mar-12	<a href="#">0521-P</a>
	Content of Account Statement	amended	15-Jul-15	<a href="#">0623-P</a>
		Extension of transition period	31-Dec-15	<a href="#">0640-P</a>
		End of transition period	31-Dec-15	<a href="#">0649-P</a>
		(c)(ii)(C) amended; (c)(ii)(H) amended	4-Jan-18	<a href="#">0738-P</a>
5.3.3	Content of Account Statement	(c)(iii) removed; (c)(iv) renumbered; (c)(v) renumbered; (c)(vi) renumbered	3-Dec-10	<a href="#">0458-P</a>
		renumbered to 5.3.2	2-Mar-12	<a href="#">0521-P</a>
	Member Business Only	renamed to <i>Report on Charges and Other Compensation</i> ; (1) added; (2) added; (3) added; (4) added; (5) added	15-Jul-16	<a href="#">0623-P</a>
5.3.4	Member Business Only	renumbered to 5.3.3	2-Mar-12	<a href="#">0521-P</a>

Section	Title	Amendment	Date	Bulletin No.
	Performance Report	added	15-Jul-16	<a href="#">0623-P</a>
5.3.5	Account Performance Reporting	added	3-Dec-10	<a href="#">0458-P</a>
		proposed Suspension	20-Oct-11	<a href="#">0495-P</a>
		suspended	2-Dec-11	<a href="#">0508-P</a>
	Delivery of Report on Charges and Other Compensation and Performance Report	added	15-Jul-16	<a href="#">0623-P</a>
5.3.6	Exempt Market Dealers and Scholarship Plan Dealers – Client Reporting	added	19-Dec-14	<a href="#">0623-P</a>
5.4.2	Automatic Payment Plans	amended	30-May-14	<a href="#">0606-P</a>
5.4.3	Content	(a) to (m) amended; (n) added	15-Jul-16	<a href="#">0623-P</a>
5.6	Record Retention	amended	3-Dec-10	<a href="#">0458-P</a>

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