



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

2020 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 Form 1 with the MFDA **no later than 20 business days after the month end** and an audited Form 1 **no later than 90 days after the Member's fiscal year end**.

MFDA Rule 3.5.4(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 2020.

DM# 719322

SCHEDULE A
Mutual Fund Dealers Association of Canada
Assessments for late filing

	Name of Filing	Filing Deadline	Fine
1.	Annual Audited Form 1	Within 90 days of Member's fiscal year end	\$250/business day
2.	Unaudited Form 1	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
2020 financial filing deadlines

Unaudited Form 1		Audited Form 1	
Month Ending	Due	Fiscal Year Ending	Due
January 31, 2020	March 2, 2020	January 31, 2020	April 30, 2020
February 29, 2020	March 27, 2020	February 29, 2020	May 29, 2020
March 31, 2020	April 29, 2020	March 31, 2020	June 29, 2020
April 30, 2020	May 29, 2020	April 30, 2020	July 29, 2020
May 31, 2020	June 29, 2020	May 31, 2020	August 31, 2020
June 30, 2020	July 29, 2020	June 30, 2020	September 28, 2020
July 31, 2020	August 31, 2020	July 31, 2020	October 29, 2020
August 31, 2020	September 29, 2020	August 31, 2020	November 30, 2020
September 30, 2020	October 29, 2020	September 30, 2020	December 29, 2020
October 31, 2020	November 30, 2020	October 31, 2020	January 29, 2021
November 30, 2020	December 30, 2020	November 30, 2020	March 1, 2021
December 31, 2020	January 29, 2021	December 31, 2020	March 31, 2021

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