Publisher's Note

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O'BRIEN'S DIVISION II

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What's New in this Update:

This release features updates to Chapter 31, Registration of Dealers, Advisers and Investment Fund Managers, and Chapter 32, Continuous Disclosure.

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Updated forms include:

Chapter 31 Registration of Dealers, Advisers and investment Fund Managers

- § 31:1 Checklists
- § 31:4 Filing Letter to NRD Administrator
- § 31:5 Enrolment of Firm (NRD Form 1)
- § 31:7 Account Holder Authorization (NRD Form 3)
- § 31:8 Firm Registration Filing Letter
- § 31:9 Firm Registration (Form 33-109F6)
- § 31:10 Certified Resolution Regarding insurance
- § 31:15 Notice of Amendment Commentary

Chapter 32 Continuous Disclosure

§ 32:15 Suppression of Terrorism and Canadian Sanctions Report

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