

1.1.3 Notice of Ministerial Approval of Memorandum of Understanding between the OSC and FINRA

**NOTICE OF MINISTERIAL APPROVAL OF
MEMORANDUM OF UNDERSTANDING
BETWEEN THE OSC AND FINRA**

On December 13, 2011, the Minister of Finance approved, pursuant to section 143.10 of the *Securities Act* (Ontario), the Memorandum of Understanding (MOU) between the Ontario Securities Commission and the United States Financial Industry Regulatory Authority, Inc. (FINRA). The MOU is intended to facilitate the exchange of information with respect to regulated entities that operate across our respective borders, with a focus on enforcement-related matters.

The MOU came into effect in Ontario on December 13, 2011. The MOU signed by the OSC and FINRA was published in the Bulletin on November 18, 2011. (See (2011) 34 OSCB 11500.)

Questions may be referred to:

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