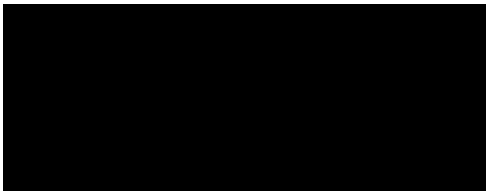


By E-Mail : [REDACTED]

Montréal May 5, 2017



RE: Request for access – Informations regarding number of representatives per discipline
Our file: GDC05-06-01-2534



This is further to the access request you sent to the Secretariat of the *Autorité des marchés financiers* (the “AMF”) regarding the above-mentioned matter.

As discuss with Me Maud Morrissette on May 1, 2017, we are unable to provide you with the list you have requested, since the AMF's register was established solely to enable the public to determine whether an individual is authorized to act as a representative. Since your request involves a use of the personal information contained in the register for purposes other than those for which it was collected, it is our opinion that this information will be used for unlawful ends within the meaning of section 55 of *An Act respecting access to documents held by public bodies and the protection of personal information*, R.S.Q., c. A-2.1 (the "Access Act"). For this reason, we must refuse to provide you with the list you have requested.

You may apply to the *Commission d'accès à l'information* (“CAI”) for a review of this decision. Attached is a document explaining how to exercise this recourse.

Please note that in the event you contact the CAI to request a review of this decision, the AMF will ask the CAI to use its discretionary power set out in the second paragraph of section 137.1 of the Access Act to authorize the AMF to disregard your application since it is not consistent with the object of this Act concerning the protection of personal information.

In fact, the intended use of this information is for a purpose not relating to the purposes for which the register was created and made available to the public.

Furthermore, you will find below the requested statistics up-to-date as of May 1st, 2017:

	Number of representatives per discipline
Financial planning	4495
Group insurance and group annuity plans advisor	2637
Group insurance plans advisor	917
Group annuity plans advisor	168
Dealing Representative of a Mutual Fund Dealer	23055
Dealing Representative of a Scholarship Plan Dealer	551

Yours truly,

Original signé

M^e Anne-Marie Beaudoin
Corporate Secretary

Encl.

Section 55 of An Act respecting access to documents held by public bodies and the protection of personal information (R.S.Q., c. A-2.1)

55. Personal information which, by law, is public is not subject to the rules for the protection of personal information set out in this chapter.

However, a public body that holds a file containing such information may refuse access to all or part of it or allow it to be examined only on the premises if the person in charge has reasonable cause to believe that the information will be used for unlawful ends.

Section 137.1 of *An Act respecting access to documents held by public bodies and the protection of personal information* (R.S.Q., c. A-2.1)

137.1. The Commission may authorize a public body to disregard applications that are obviously improper because of their number or their repetitious or systematic nature or an application whose processing could seriously interfere with the body's activities.

The same applies if, in the opinion of the Commission, the applications are not consistent with the object of this Act concerning the protection of personal information.

NOTICE OF RECOURSE

(Pursuant to a decision rendered in accordance with the *Act respecting access to documents held by public bodies and the protection of personal information*, R.S.Q., c. A-2.1) (the « Act »)

REVIEW

a) Power

Section 135 of the Act stipulates that every person whose request has been denied, in whole or in part, by the person in charge of access to documents or of the protection of personal information may apply to the *Commission d'accès à l'information* for a review of the decision. An appeal may also be brought for a failure to respond within the applicable time limit.

The application for review must be made in writing; it may state briefly the reasons for which the decision should be reviewed (section 137).

The *Commission d'accès à l'information* may be reached at the following addresses :

QUÉBEC CITY

Bureau 2.36
525, boul. René-Lévesque Est
Québec (Québec) G1R 5S9

Phone : (418) 528-7741
Fax : (418) 529-3102

MONTRÉAL

Bureau 18.200
500, boul. René-Lévesque Ouest
Montréal (Québec) H2Z 1W7

Phone : (514) 873-4196
Fax : (514) 844-6170

Toll-free number for both offices : 1-800-528-7741

b) Grounds

An application for review may be based on grounds pertaining to the decision, the time prescribed for processing the request, the mode of access to a document or information, the fees payable, or the application of section 9 (personal notes written on a document, sketches, outlines, drafts, preliminary notes or other documents of the same nature which are not deemed to be documents held by a public body).

c) Time limit

The application for review must be made to the *Commission d'accès à l'information* within thirty (30) days of the date of the decision or of the time granted by the Act to the person in charge for processing a request (section 135).

The Act specifically provides that the *Commission d'accès à l'information* may, for any serious reason, release the applicant from a failure to respect the thirty-day time limit (section 135).

APPEAL TO THE COURT OF QUÉBEC

a) Power

Section 147 of the Act stipulates that a person directly concerned may bring an appeal from a decision of the *Commission d'accès à l'information* before a judge of the Court of Québec on any question of law or jurisdiction. However, an appeal from an interlocutory decision may only be brought with leave of a judge of the Court of Québec. The judge shall grant leave if the interlocutory decision will not be remedied by the final decision.

b) Time limit

Under section 149 of the Act, the motion for leave to appeal must be filed in the office of the Court of Québec, within thirty (30) days of receipt of the decision of the *Commission d'accès à l'information* by the parties.

c) Procedure

Under section 151 of the Act, the notice of appeal must be served on the parties and on the Commission within ten (10) days after its filing at the office of the Court of Québec.