MEMBER REGULATION

notice

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MR0377

November 18, 2005

ATTENTION:
Ultimate Designated Persons
Chief Financial Officers
Panel Auditors

Distribute internally to:

- ❑ Corporate Finance
- ❑ Credit
- ■ Institutional
- ❑ Internal Audit
- ■ Legal & Compliance
- ❑ Operations
- ❑ Registration
- ❑ Regulatory Accounting
- ■ Research
- ■ Retail
- ■ Senior Management
- ❑ Trading desk
- ❑ Training

Guidelines for Confidential Information Containment

The attached Guidelines for Confidential Information Containment were prepared in consultation with members of the Compliance and Legal Section and Market Regulation Services Inc.

They are being provided to assist Members in implementing, revising or reviewing the effectiveness of their procedures. The Association recognizes that such procedures will vary from firm to firm depending on factors such as the nature of the firm's business, its size, clientele and the markets in which it conducts business.