

IIROC NOTICE

Education Notice

Please distribute internally to:

Corporate Finance
Credit
Institutional
Internal Audit
Legal and Compliance
Operations
Registration
Regulatory Accounting
Research
Retail
Senior Management
Trading Desk
Training

Contact:

Adrian Carter
Director, Educational Services
416 943-6247
acarter@iroc.ca

17-0028
January 30, 2017

New Webcast: Conflicts of Interest and Best Interest

Conflicts of Interest and the Best Interest standard are important issues currently under discussion in the industry. This webcast recorded at IIROC's 2016 Compliance Conference held in Toronto on September 20, covers the following topics:

- CSA Consultation on Best Interest
- IIROC Rule 42 – Conflicts of Interest
- IIROC Dealer Member Surveys on Conflicts, Best Interest & Compensation
- Panel Discussion of the issues associated with these topics

The panelists are:

- Nick Cardinale, Chief Compliance Officer, Head of Canadian Wealth Management Compliance | RBC Wealth Management;
- Dan Bowering, Chief Compliance Officer & Director, Compliance, Richardson GMP Limited;



- David Wright, Senior Advisor, Business Conduct Compliance, IIROC;
- Sandra Blake, Vice President, Business Conduct Compliance, IIROC.

Your completion of this webcast will earn you **.5 hour of IIROC Continuing Education Compliance Credits.**

This webcast will be available for viewing commencing on January 31, 2017 at 7:00 am Eastern time and on a 24/7 basis after that date.

Please note that there is no accompanying quiz for this webcast. Upon completion of the webcast, participants will be issued an electronic and personalized Continuing Education credit (.5 CE credit) certificate which can be applied to their **Compliance Requirements.**

[Click here to register](#)

To register for this webcast, please click on the link above. To access a full list of available CE accredited webcasts, please click [here](#).

To access all upcoming Member Education Services Events, simply subscribe to IIROC's ePublications service at www.iiroc.ca and select the following categories: "Education Notices" and "Member Events." ePublications is a free, self-managed system, whereby subscribers can change their selection criteria whenever and as many times as they want, making it a quick and easy way to receive information.