

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, Member Education Services
416 943-6247
acarter@iiroc.ca

17-0045
February 27, 2017

New Webcast: The 2017 Compliance Priorities Report Highlights

The 2017 Compliance Priorities Report deals with current issues and challenges to be addressed by Dealer Members to improve investor protection and foster market integrity in an environment that is rapidly evolving and becoming increasingly complex.

This webcast is a video recording of the highlights of the 2017 Compliance Priorities Report. IIROC's compliance priorities stem from:

- new risks that have emerged recently;
- concerns due to recurring / significant deficiencies noted in the past year; and
- results of our targeted reviews and surveys.

Our intent is to provide information that helps Dealer Members focus on areas that present the highest risk while reducing time spent on insignificant issues.



This webcast will be available for viewing commencing on February 27, 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.