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For distribution to relevant parties within your firm

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Educational Webcast for Branch Managers & Advisors

Enforcement Facts and Findings: Recent Trends, Impacts and Recommended Prevention Measures

The IDA's Enforcement Department conducts investigations of a Member firm or a registered employee as a result of an investor complaint, referral from a securities commission or other agency, or where it is necessary to enforce compliance with IDA by-laws, regulations or policies. During the course of these investigations, frequently common trends and issues emerge.

To increase knowledge of these issues Member Services will be offering an educational Webcast entitled, "Enforcement Facts and Findings: Recent Trends, Impacts and Recommended Prevention Measures", on February 12, 2008 in English at 4:00pm EST and February 20, 2008 in French at 4:00pm EST. This webcast will highlight; recent trends the IDA's Enforcement department is coming across, the impact of these issues as well as, recommendations for preventative measures Members can take to avoid these situations.

Our featured speakers for this webcast will be Michael Haddad, Director- Investigations, IDA and Jeff Kehoe, Director- Litigation, IDA. Please join Mike and Jeff as they engage in a lively discussion and provide fast paced commentary on the most recent Enforcement issues in the industry.

For those experiencing a scheduling conflict, a replay of the web cast will be made available. The web cast will be 45 minutes in length and participants will be eligible for one hour of Continuing Education credit (CE credit) which can be applied against fulfilling their compliance requirement.

To keep informed of upcoming Member Services events, simply subscribe to the IDA's e-publications service at www.ida.ca and select the following categories: "Advisor Educational Web Casts" and "Events – Educational Events and Seminars." E-publications 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.

Additional information about the program as well as the Registration forms are available at http://www.ida.ca/Media/Events_en.asp

Kenneth A. Nason
Association Secretary