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For distribution to relevant parties within your firm

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## **Educational Web Cast for Branch Managers & Advisors**

### **Compliance for Fee Based Accounts**

Fee based accounts continue to be a rapidly growing product segment for IDA member firms. Fee based assets excluding stand-alone mutual funds represent over \$160 billion dollars in assets under management at Member firms. The fee based account model changes both the way an advisor is compensated and how a client is charged. The fee based service model raises both opportunities and challenges for member firms as this product continues to grow over 27% annually.

In our next Web cast titled, “Compliance for Fee Based Accounts”, we will cover recommended policies and procedures for firms offering fee based services. We will review general problem areas, discussing and disclosing fees properly to clients and recent case examples and complaints from our Enforcement department.

This will be a single session web cast and our English speakers will be Sasha Latka, Manager, Sales Compliance, IDA and Lisa Lake Langley, Vice President Member Services, IDA. The French web cast speaker will be Marie-Lyne Côté, Director Member Regulation IDA Montreal.

Compliance for Fee Based Accounts web cast will take place on August 14, 2007 at 4pm EDT in English and August 15, 2007 at 4pm EDT in French. For those experiencing a scheduling conflict a replay of the web cast will be made available. Each part of 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](http://www.ida.ca) and select the following categories: “Adviser 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](http://www.ida.ca/Media/Events_en.asp)

Kenneth A. Nason  
*Association Secretary*