

Point of Sale, Phase 3

“POS3”

IIROC FAS Conference
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Panelists: Doug Bennett, Edward Jones
 Donna Bristow, Broadridge
 Andrew Emery, Scotiabank

Moderator: Richard Corner, IIROC

POS 3

Agenda

- Background information
- Discussion of Dealer Member operational challenges introduced with POS3
- Discussion of service provider challenges and solutions to be introduced
- Discussion of compliance and other remaining challenges relating to POS3

POS 3

Background information

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 - * regulatory intent of POS initiative
 - * the three POS implementation phases
 - * Phase 1 – create and make available Fund Facts document [January 1, 2011]
 - * Phase 2 – deliver Funds Facts document within two days of buying a fund [June 13, 2014]
 - * Phase 3 – deliver Fund Facts document prior to buy a fund [May 30, 2016]

POS 3

Panel discussion items

- Dealer Member operational challenges introduced with POS3
- Service provider challenges and solutions to be introduced
- Compliance and other remaining challenges relating to POS3

POS 3

Questions?