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COMPLIANCE & LEGAL
SECTION

**2016 Annual Compliance
Conference
December 6th, 2016**

Ghosts of CLS Past

- Joint Industry Compliance (JICG) Group Annual Seminar started in 1996
- Less than 100 attendees
- Attendees were primarily retail (75-25 split)
- Attendees mailed cheques to IIROC for the registration fee
- Organization Committee 8-10 people



INVESTMENT DEALERS
ASSOCIATION OF CANADA

bulletin



ASSOCIATION CANADIENNE DES
COURTIERS EN VALEURS MOBILIÈRES

BULLETIN NO. 2412, OCTOBER 22, 1997

Joint Industry Compliance Group Seminar

**TUESDAY, DECEMBER 2, 1997
THE TORONTO SHERATON HOTEL
CONFERENCE ROOMS B & C**

The Joint Industry Compliance Group is conducting its second annual working seminar on Tuesday, December 2, 1997, designed specifically for hands-on Compliance Managers and their staff.

The agenda, chosen from recommendations of the JICG membership, includes the following topics:

- Conduct of a Compliance Officer
- Educational Activities within Member Firms
- Conflicts of Interest – A Study of the Recent Report
- Conducting a Trading Desk Review
- Technology Issues & Enforcement
- Research and Compliance-Related Issues

The seminar topics will be presented by a panel, followed by small group discussion. All attendees are expected to contribute to the discussion by either discussing their own in-house policies and procedures, or by preparing questions to deal with areas of concern.

As space is limited, we will require replies no later than November 19, 1997. Please contact Judy Ofiara by fax at (416) 591-5593 with each attendee's name, title and member firm. If you require more information, please contact her at (416) 591-5592.

The cost of the seminar is \$175.00. Please submit your cheque payable to the IDA, re: JICG Seminar, and forward to the attention of Sheila Fernandez at the Investment Dealers Association, 121 King Street West, Suite 1600, Toronto, Ontario, M5H 3T9.

PLEASE DISTRIBUTE TO INTERESTED PARTIES IN YOUR FIRM

CLS Conference Today

- Number of attendees today - 346 (non-CE year)
- Speakers - 30
- Sponsors - 28
- Attendees are a 50-50 retail and institutional
- Number of Firms Represented 109
- Added a website <http://www.clseducation.ca/>
- On-line registration site for attendees
- Organization committee 22-33 people and each year have new people stepping up to join.