



The Compounding Interest of Intellectual Capital

A continuing education morning seminar

Thursday, April 15
Fort Garry Hotel





THE MANITOBA SECURITIES COMMISSION

1130-405 Broadway
Winnipeg, Manitoba
R3C 3L6
166

The Compounding Interest of Intellectual Capital



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The Compounding Interest of Intellectual Capital

When: Thursday April 15, 2004 from 8:00 am to 12:15 pm
Where: The Fort Garry Hotel, Provencher Ballroom 222 Broadway
Cost: $23 per person

8:00 to 8:20 am – Registration

8:20 to 9:00 am – Breakfast

9:00 to 9:45 am – Fair Dealing Model with Julia Dublin, OSC

9:45 to 10:15 am – The Role of Investor Education with Don Murray, MSC

10:15 to 10:30 am – Coffee Break

10:30 to 11:30 am – Education Providers

- Canadian Securities Institute with Barry Hallwas
- Association for Investment Management and Research with Alan Fusty
- Investment Funds Institute of Canada with Grant Van Blaricom
- ADVOCIS with Harold Sankar

11:30 am to 12:15 pm – Breakout Sessions

- Mutual Fund Dealers Association of Canada with John Smeeton and Shaun Devlin
- Investment Dealers Association of Canada with Warren Funt

Program Sessions

Fair Dealing Model

The Ontario Securities Commission has published a concept paper on the Fair Dealing Model and is hoping that the rest of the country will get behind it. How does it work for you? *With Julie Dublin, OSC's senior legal counsel and manager of the Fair Dealing Model project.*

The Role of Investor Educator

The Manitoba Securities Commission has initiated several investor education projects. This session will review the projects and show how you can use the programs to assist your own clients. *With Don Murray, MSC's chair.*

Education Providers

Education providers in the financial services industry will explain how acquiring professional designations can enhance your business opportunities. Each panel member will deliver a 10-minute presentation followed by a question and answer session.

MFDA Breakout Session

The MFDA's initial round of regular dealer compliance reviews is well underway. Activity in the enforcement area is on the increase. This session will focus on the nature and general results of those compliance reviews and on the key enforcement concerns stemming from current complaints and investigations. *With John Smeeton, MFDA's prairie region director and Shaun Devlin, MFDA's director of enforcement*

IDA Breakout Session

The Investment Dealers Association has implemented a risk-based approach to regulation, which includes the implementation of ComSet, the analysis of complaint patterns and the development of sophisticated models to track risk in financial and sales compliance. Ultimately, these changes will lead to the production of a Member firm "Report Card". *With Warren Funt, IDA's vice-president of member regulation.*

Display Area

A display area with exhibits and educational information will be open for seminar participants during registration and coffee breaks.

Registration Information

Name: _____ Organization: _____

Address: _____

Work number: _____ Cellular: _____ E-mail: _____

I wish to attend the following session *(please check one)* ☐ MFDA ☐ IDA

I would like to apply for the following Continuing Education credits *(certificates will be available at the session)*

☐ IDA ☐ ADVOCIS

Register

Fax: 204 945-0330, in person or by mail to: Manitoba Securities Commission
Attn: Ainsley Cunningham, 1130-405 Broadway, Winnipeg, Manitoba, R3C 3L6

Payment included ($23 per person) ☐ YES ☐ NO

Please make your cheques payable to: Minister of Finance

Registration deadline: April 13, 2004

Space is limited so register early