



**Ethidex**<sup>TM</sup>  
Governance • Risk • Compliance

**Dealers**  
**(Non - SRO)**

## **Meeting the Requirements of NI 31-103**

The Ethidex service enables a registered firm to document its policies and procedures and implement a system of controls and supervision that:

- ✓ provides assurance that the firm and each individual acting on its behalf complies with securities legislation, and
- ✓ manages the risks associated with its business in accordance with prudent business practices

## **Ethidex Risk Manager Service**

The Ethidex service has been developed with the assistance of Borden Ladner Gervais LLP to help our clients reduce the time and cost of managing risk and demonstrating compliance.

## **Building Trust**

Recent events have highlighted the demand of stakeholders for effective controls and sound governance. The investment industry must comply with the rules — and more.

## **Effective Governance**

Governance is the combination of people, policies, and procedures that ensures the alignment of management's actions with stakeholders' legitimate interests.

Effective governance requires a foundation of clearly documented policy, a disciplined process of management accountability for policy implementation, and a system to identify risks and to respond to a changing business environment.

## **Cost Effective Best Practice**

Effective management of your company's controls, procedures and policies to ensure and demonstrate effective risk management and compliance *without* the Ethidex Risk Manager Service is both time consuming and expensive.

Our methodology allows investment dealers to focus on managing their business rather than managing legislative changes.

- ▶ We clarify and organize the relevant risks and requirements in plain, industry-specific language
- ▶ We provide an efficient framework for controls documentation, assessment and reporting
- ▶ We train and support your staff in using the Compliance Office<sup>TM</sup> system
- ▶ We alert you to relevant changes in the regulations that apply to your business and advise you on where they impact your business processes

## **Our Service Commitment**

Our commitment is to ensure that our clients are active, satisfied Ethidex users.

To this end, we undertake to provide, at no additional cost, whatever ongoing support and training you may require in order to get the maximum value from our offering.

With the assistance of

**BLG**  
Borden Ladner Gervais



## Modules for Investment Dealers

### ▶ Registration Requirements

- ✓ Compliance with NI 31-103

### ▶ Privacy of Personal Information

- ✓ Compliance with:
  - Federal Act
  - Provincial Acts
  - Guidance from Privacy Commissioner case decisions

## Asking the Right Questions

- ▶ How do requirements impact business processes?
- ▶ Are appropriate auditable controls built into business processes to ensure ongoing compliance and risk mitigation?
- ▶ Are responsible individuals:
  - ✓ Aware of the risks and requirements?
  - ✓ Accountable for control implementation and documentation?
  - ✓ Self-assessing control effectiveness?
  - ✓ Updating controls for a changing environment?

## Ethidex Compliance Office<sup>TM</sup> is the industry standard

Over the past 12 years, we have developed and continuously enhanced Compliance Office<sup>TM</sup> to suit the needs of the industry and our 100+ clients in charge of managing business and compliance risks.

Web-based, secure, and backed up by our alliance with TELUST<sup>TM</sup>, Compliance Office v.7.1 helps make the Ethidex Risk Manager Service the easiest and most cost-effective way to satisfy the risk-management and compliance expectations of your Directors, Auditors, Regulators and other stakeholders.

### Contact us



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