



EthidexTM
Governance • Risk • Compliance

Investment Fund and Portfolio Managers

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 fund managers 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 OfficeTM 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



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The Ethidex Risk Manager Service

Modules for Investment Fund Companies & Portfolio Managers

▶ **Securities Legislation & Regulation for Mutual Fund Managers and Portfolio Managers**

- ✓ All Canadian jurisdictions
- ✓ National Instruments and Policies
- ✓ Compliance guide with links to full text of:
 - Cited legislation, regulations
 - National Instruments and Policies
 - Other relevant material

▶ **Independent Review Committee for Mutual Fund Managers**

- ✓ Compliance with NI 81-107

▶ **AML/Anti-Terrorist Financing**

- ✓ Proceeds of Crime (Money Laundering) and Terrorist Financing Act, Regulations, Criminal Code, FINTRAC Guidelines

▶ **Privacy of Personal Information**

- ✓ PIPEDA and provincial laws: Quebec, BC, and Alberta

▶ **Registration Requirements**

- ✓ Compliance with NI 31-103

▶ **Human Resources**

- ✓ Provincial Employment Standards Act
- ✓ Accessibility for Ontarians with Disabilities

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 OfficeTM is the industry standard

Over the past 12 years, we have developed and continuously enhanced Compliance OfficeTM 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 TELUSTM, 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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