

Kegie Consulting Corp.

phone: 416-621-8857
cell: 647-409-8369
skegie@rogers.com

44 Faversham Cres.,
Etobicoke, ON M9C 3X6
www.kegieconsulting.com

Manuals

One of the things plaguing everyone today is resources. Just when compliance thought they might be getting on top of things, the budget gets cut in response to the financial downturn and there's not enough of anything or anyone to go around.

At best, compliance can pay little attention to the administrative requirements of policy changes, having instead to focus their limited resources on training and implementation in the field. The result over time means that the dealer's policies and procedures manuals are not only out of date, but the project to address the deficiencies never seems to make it to the top of the list of things to do.

How would you like to have a full time person review and assess change to regulatory policies, rules, notices and bulletins and where and when required issue amendments in the form of Compliance Policies and Procedures Manual updates, Branch Manager Manual or Audit Procedures updates; or as a stand-alone policy notice.

We will customize a program for you, but here are some examples:

Provide Compliance Policies and Procedures Manual which includes

- Full review of existing Policies and Procedures Manual, bulletins, Branch Managers Manual, audit documents, etc. OR
- Provide Compliance Policies and Procedures Manual, Branch Managers Manual and Audit Procedures document, all based on MFDA Rules.

Provide timely regulatory updates to the above documentation.

Provide stand alone regulatory policy notices (applies to non-manual purchasing clients).

The focus of Kegie Consulting Corp.'s efforts continues to be those matters currently before mutual fund dealers, advisors and mutual fund dealer industry groups.

How would you answer the following question?

Is your dealership responsible for the registration and supervision of mutual fund salespersons? Yes No

If you answered yes, answer the following:

1. Does your dealership have a procedure in place for the approval and registration of all Trade Names used by your Approved Persons for their businesses? Yes No
2. On at least an annual basis, does your dealership obtain copies of all stationery used by your Approved Persons? Yes No
3. Does your dealership have a policy for co-operative marketing initiatives entered into between your Approved Persons and mutual fund companies? Yes No
4. On at least an annual basis, does your dealership search the internet for advertising by or information on your Approved Persons? Yes No
5. On at least an annual basis, does your dealership review and approve websites of all your Approved Persons? Yes No
6. Does your dealership have a written policy outlining expectations for the websites of your Approved Persons? Yes No
7. Does your dealership have a written policy regarding Compliance Audits of Approved Persons, Branch Offices and Branch Managers? Yes No
8. Does your dealership have a written policy regarding the use of Limited Authorization Forms ("LAF"), based on MFDA Rule 2.3.2, MR-0038, MR-0039 and MR-0042? Yes No
9. Does your dealership have a written policy regarding the prohibition of the use of pre-signed Order Entry Forms or other pre-signed client documents? Yes No
10. Does your dealership have a written complaint handling policy, based on MFDA Rule 2.11 Complaints; MR-0020 Client Complaint Information; and MR-0059 Complaint Handling Obligations? Yes No
11. Does your dealership have a written policy regarding the use of regulatory disclaimers? Yes No
12. Does your dealership have a written policy regarding disclosure to clients on various matters? Yes No

If you answered "No" to any of the foregoing, your dealership is not compliant and the services of Kegie Consulting will be a tremendous asset to you.

Our website at www.kegieconsulting.com will provide a guide to all the services offered by Kegie Consulting. Please contact us directly via email at skegie@rogers.com so that we can provide the assistance you require.