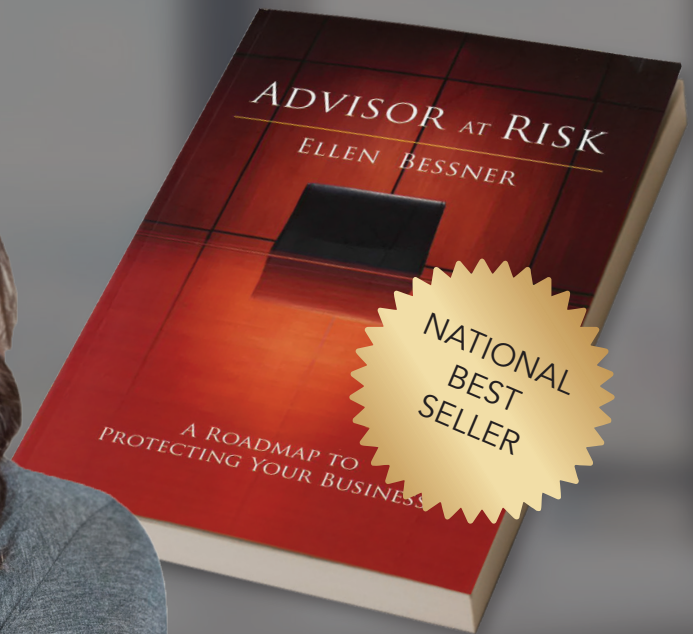


ADVISOR AT RISK

A ROADMAP TO PROTECTING YOUR BUSINESS

By Ellen Bessner



A Complete Resource
for Advisors, Dealers and
Insurance Agents on How
to Manage Risk in the
Investment Industry.

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THE BOOK

ABOUT ADVISOR AT RISK

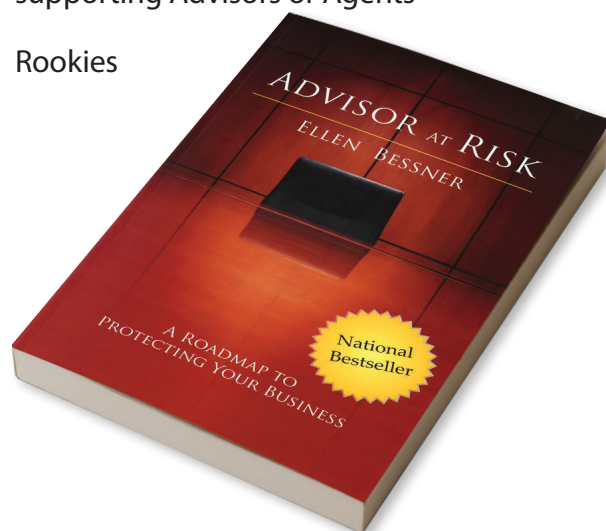
Advisor At Risk is the complete resource for taking control of risk and securing good business. It is a best practices must-read for anyone in the investment and insurance industries who wants to avoid becoming the target of client complaints, regulatory investigations, litigation proceedings and damaging press releases.

Author Ellen Bessner takes an in-depth look at risks to advisors and provides practical, easy-to-follow strategies. Drawing on over 20 years of firsthand experience, she stresses the importance, for example, of knowing your client and managing their expectations while maintaining a solid paper trail should a dispute emerge.

WHO SHOULD READ THIS BOOK

IIROC/MFDA/Insurance

- Licensed and unlicensed individuals working in investment or insurance industries
- Branch Managers/Supervisors
- Licensed and unlicensed Assistants supporting Advisors or Agents
- Rookies



// The occupational hazard of being a financial advisor is being sued by clients when some well-meaning advice does not work out. Securities lawyer Ellen Bessner's Advisor at Risk is an essential guide that maps out how advisors can protect their business reputation and licence from unwelcome litigation and regulatory complaints. //

Jonathan Chevreau
National Post

THE BOOK

CONTENT OVERVIEW

- Chapter 1: Roles and Responsibilities
- Chapter 2: Professionalism
- Chapter 3: Know Your Client and Prove It
- Chapter 4: The Suitability Challenge
- Chapter 5: Know Your Product and the Risks
- Chapter 6: How to Win the Credibility Battle
- Chapter 7: Manage Your Clients
- Chapter 8: Invisible Clients
- Chapter 9: Clients and Privacy
- Chapter 10: Compliance — Friend or Foe?
- Chapter 11: Litigation
- Chapter 12: Regulatory Investigations

BOOK PRICING

Retail Book Price Per Unit: \$34.95

FOR CORPORATE VOLUME SALES

Volume Units	Unit Price
10–24	\$30.95
25–49	\$29.95
50–99	\$27.95
100–149	\$24.95
150–249	\$22.95
250–499	\$20.95
500–999	\$18.95
1,000+	\$16.95

Prices do not include applicable taxes or shipping and handling.

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TOP 10 REASONS

TO BUY *ADVISOR AT RISK*

1. Advisor At Risk is a powerful tool for Advisors, Branch Managers and others in the investment industry to protect their reputation and licence while earning continuing education compliance credits.
2. Advisor At Risk closely examines client relationships and sheds light on key issues that commonly result in costly complaints.
3. Advisor At Risk explains what an Advisor must do to know their clients and defend against claims.
4. Advisor At Risk is a must-read for both licensed and unlicensed Assistants who support Advisors and Branch Managers.
5. Advisor At Risk was written by one of Canada's leading experts in litigation and regulatory matters using real life examples to analyze problems and explain compliance requirements.
6. Advisor At Risk engages the reader and demystifies the complex subject of compliance.
7. Advisor At Risk teaches Advisors and Branch Managers that strict adherence to compliance obligations is the foundation of a successful practice.
8. Advisor At Risk helps rookies start on the right track and veterans improve by demonstrating the value and benefits of compliance.
9. Advisor At Risk provides easy-to-use tools and processes to substantially reduce risk.
10. Advisor At Risk is the ultimate resource that explains the foundation and causes of compliance risk to Advisors, Branch Managers, brokers/dealers, insurance companies and their staff.

LIVE SEMINARS

SEMINAR OVERVIEW

Through interactive discussions and an in-depth look at case-studies, Advisors will gain insight into best practices for your organization that will help everyone sleep better at night.

These seminars will:

- Explore current trends, risks and challenges facing the investment and insurance industries
- Examine the risks an Advisor faces and how to protect their most valued assets: reputation, licence and money
- Help Advisors identify red flags before they turn into client complaints or litigation
- Help Advisors gauge compliance in order to analyze risks and resolve existing compliance issues

Branch Manager at Risk

These presentations help Branch Managers/ Supervisors learn from the mistakes of other Branch Managers who have been penalized for their lack of supervision. Risk reduction strategies are presented, including a detailed review of how to delegate.

Live courses can be customized, focusing on one or several topics.

WHO SHOULD ATTEND THESE SEMINARS

IIROC/MFIDA/Insurance

- Licensed and unlicensed individuals working in investment or insurance industries
- Branch Managers/Supervisors
- Licensed and unlicensed Assistants supporting Advisors or Agents
- Rookies

CONTINUING EDUCATION CREDITS

Earn up to 12 Compliance Credits

These presentations are accredited for as few as 1 continuing education credit (1 hour) to as many as 12 continuing education credits (12 hours).

Industry organizations, including Advocis and IIROC (CECAP), have accredited these courses for continuing education credits.

PRICING

Varies based on customization, length of presentation and location.

// In the challenging and complex world of compliance, Advisor At Risk offers a clear understanding and detailing of the issues and expert advice on avoiding industry pitfalls. Bessner's superior work should be required reading for any advisor hoping to build a compliant and successful practice. //

*Dirk Hohmann, B.Sc., CFP
London Life, Quadrus Investment Services*

ADVISOR AT RISK

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Here's what some of our program participants had to say:

"This is a great refresher course that should be an important part of any trainee program and a continuing reference for experienced advisors."

"Ellen makes this topic interesting and very true to life, which allows you to take many ideas with you."

"Ellen delivers a difficult and dry subject in a very effective way that hits home."

"Ellen is a very engaging and passionate speaker with vast knowledge and experience in our industry. It is refreshing to hear from someone who is so passionate about helping advisors."

"Very informative. I like that Ellen used many great cases that have happened in our industries. I like the combination of the book/presentation. Very well done!"

"A useful tool to 'client-proof' yourself and your business."

"No matter what your business model, there is something in this class that will help you tighten up your book."

"An excellent way to understand how to protect your business and prove that you have understood your client's needs."

"A useful tool to understand how things have changed in the industry and a great manual to instruct you on what you must now do to protect yourself and your business."

"Very Informative. Opens your eyes to real life situations that could easily escalate."

TO BOOK OR FOR MORE INFORMATION CONTACT

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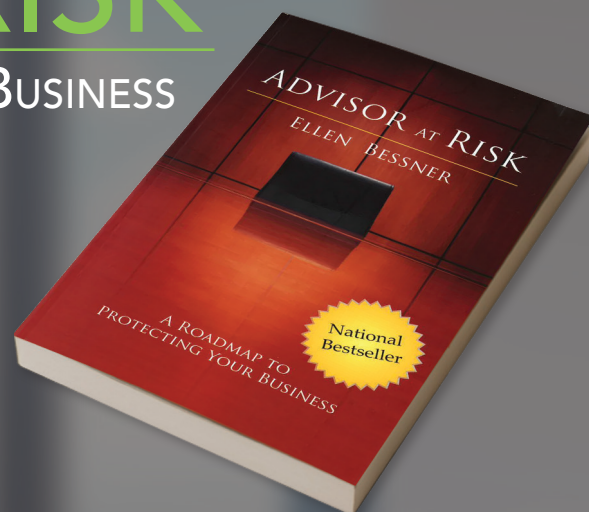
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Ellen Bessner is a leading expert on compliance risk in the financial services industry. A senior litigation lawyer, she has over 25 years' experience representing financial institutions, brokerage firms, corporations and individuals in litigation and before regulatory tribunals. She has delivered presentations across North America on compliance risk and writes extensively on risk management and compliance

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