

## GLEN WILLIAMS CONSULTING

Glen Williams Consulting offers a range of customized services to Portfolio Managers, Exempt Market Dealers and Investment Fund Managers in Canada, whether newly registered or already established. These services include the design and implementation of, or updates to, operational, compliance and regulatory processes, saving you time and dollars so that you can focus on growing your business. Our experience in operational systems and processes sets us apart from other firms that focus primarily on compliance.

Services focus on operational, compliance and regulatory aspects of your business, including:

### OPERATIONS DESIGN & IMPLEMENTATION

- Designing and implementing operational processes to manage the registered firm (cash management, financial reporting and audit, performance reporting, marketing material, tax filings and regulatory reporting);
- Reviewing legal documentation from counsel in detail for key points or issues for discussion;
- Coordinating vendor selection and due diligence processes;
- Performing annual due diligence reviews of key vendors or suppliers;
- Training staff with respect to specific issues;
- Coordinating registration with the SEC or other offshore regulators and the establishment of international operations.

### COMPLIANCE MANAGEMENT

- Designing and implementing an effective compliance system, including developing or revising the policies and procedures manual to reflect actual operations, new requirements etc.;
- Establishing an anti-money laundering compliance regime, including policies and procedures, risk assessment and training;
- Conducting anti-money laundering audits (required every two years);
- Performing compliance reviews of topical areas such as know your client, suitability and marketing material;
- Preparing and compiling regulatory submissions, including the biannual OSC Risk Assessment Questionnaire and SEC Form ADV and Form PF;
- Managing regulatory compliance reviews.

### REGULATORY OVERSIGHT

- Acting as a Compliance Consultant or Monitor when terms and conditions are imposed on your registration by regulatory authorities;
- Serving as a member of your Independent Review Committee under NI 81-107;
- Preparing regulatory registration submissions for individuals for review by counsel.

The services are provided by Ian Pember, President and CEO. Ian is a CPA, CA with over 35 years experience at senior levels in international investment management and banking. Previously Ian was Chief Operating Officer and Senior Vice-President Administration and Compliance with Hillsdale Investment Management Inc., where over 15 years the firm grew from \$100 million to over \$2 billion in Assets Under Management in a combination of hedge funds, long only pooled funds and separately managed accounts. As COO he managed all compliance, operational, finance and corporate governance support for the company. This included managing Hillsdale's regulatory relationships with the SEC as well as Canadian regulators. Ian was co-chair of the Legal and Finance Committee of AIMA Canada from 2006 to 2017, representing the hedge fund industry in Canada to regulators and government. He was a member of the OSC Registrant Advisory Committee for its initial two-year term. Prior to Hillsdale Ian was Vice-President Planning & Analysis at CIBC, responsible for management reporting and planning for the Personal & Commercial Bank and for all of CIBC. This followed nine years as Vice-President Financial Control with Citibank Canada.

### Contact Us:



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