

PEAK INTRODUCES THE NEW PROTECTOR COMPLIANCE SYSTEM

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MONTREAL, QUEBEC - Long recognized as one of Canada's leading independent fund, insurance and securities dealer, PEAK Financial Group today introduced the new protector compliance system. This innovative compliance module runs on the PEAK Integra Platform helping the advisor to update KYC forms with the clients.

Most of the compliance programs on the market will calculate the risk of specific products and compare it to the client risk. PEAK took a step forward by helping the advisor and client to determine the proper level of risk based on objectives and asset allocation. The protector system allows the advisor to fill online a questionnaire to select among 13 portfolio models. The questionnaire will set the proper percentage of risk and objectives on the KYC form. The system also pre-fills the KYC forms for the annual update by the advisor.

The protector compliance system allows the planner to produce and monitor exception reports re-calculated on a daily basis. It also calculates a risk factor by asset class re-calculated on market value. The daily process generates an exception list when the weight of an asset class is not in line with the client risk and objectives.

This new system allows the compliance officer to work on an exception basis and monitors suitability of trade assisted by an electronic matrix. The process reduces time for the compliance officer on trade suitability and increases the capacity to monitor other compliance issues to protect both the advisor and the firm.

"Planners have indicated to us that they would like integration of their KYC, compliance, suitability, and asset allocation responsibilities. We believe the PEAK Protector is an important step in our planners' and our firm's objectives of simplification and increased productivity. With this module, compliance costs drop while effectiveness rises!" " said Robert Frances, President and CEO of PEAK Financial Group. "This new system works on the PEAK Integra platform supporting RPM Technology (RPM), CTA Systemsource (MPS) and Winfund. "PEAK's role", says Frances, "is to offer the best technology and tools to help independent planners serve their clients."

Established in 1992, the PEAK Financial Group comprises PEAK Investment Services Inc., PEAK Securities Inc., PEAK Insurance Services Inc., and PEAK Financial Services Inc. It is one of the fastest growing, privately-owned providers of personal financial services in Canada. Registered in most provinces, PEAK represents more than 350 advisors and representatives who serve over 50,000 Canadians. With assets under administration of over \$2 billion, PEAK continues to be the dealer of choice for independent financial planners and investments and insurance advisors.

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