

Anatomy of an Advisor Profile

IIROC CLS Compliance Conference 2014

Moderator:

Paula Amy Hewitt, Legal Counsel & Privacy Officer



Panellists :

Shawna Dennis

Director, Marketing & Communications



Sean Shore

Securities, Compliance and Regulatory
Counsel



Housekeeping

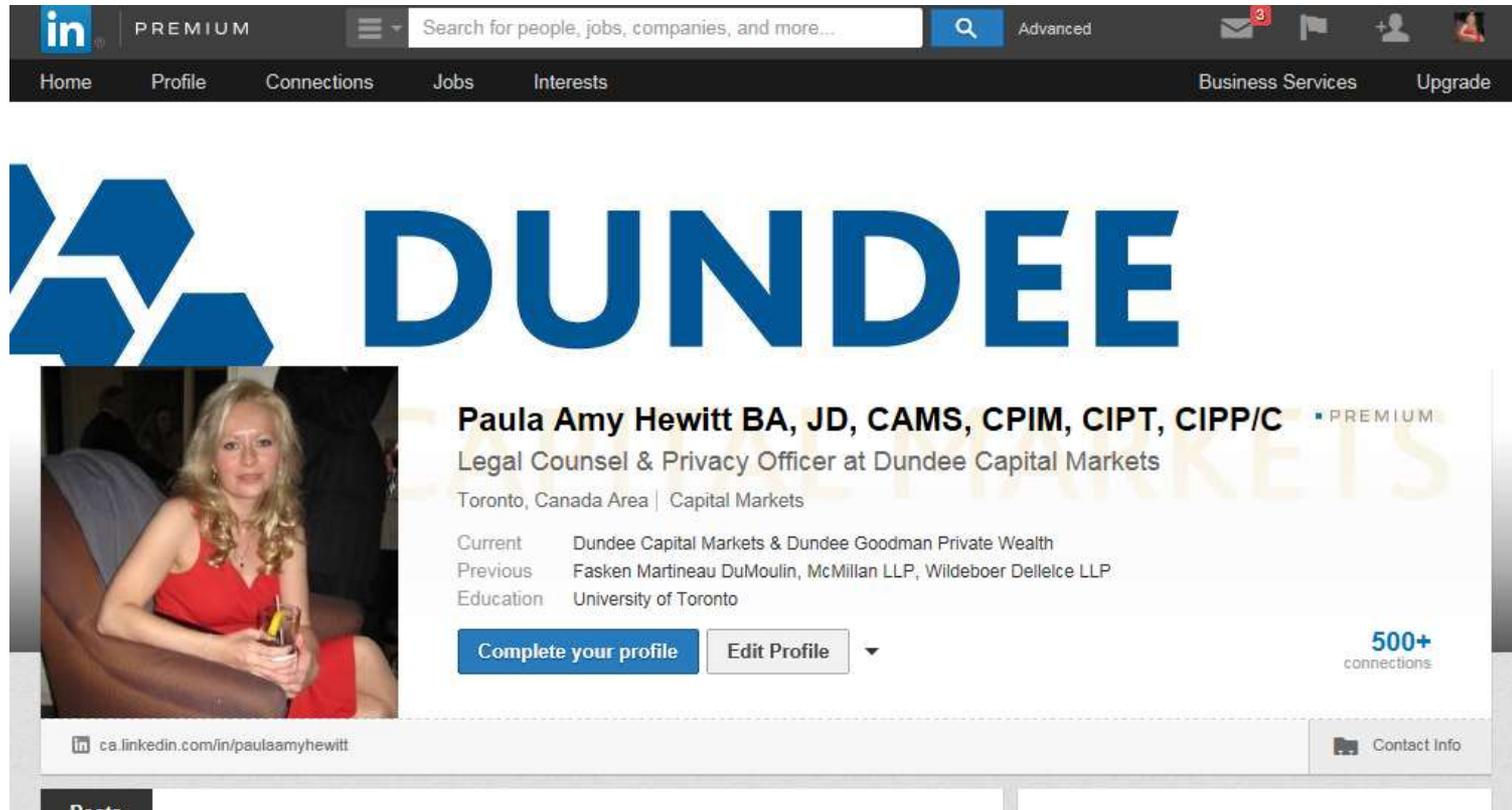
- Opinions are our own and do not necessarily reflect those of our employers or our hosts
- The information contained in this presentation is relevant to social media compliance generally and should not be construed as legal advice – please consult with or yell at your compliance or legal department regarding your firm’s policy

Getting Started

- Knowledge and awareness of existing and applicable laws
 - Dual Registration
 - Other Legal Considerations
- Supervisory and business conduct requirements based on specific regulatory platforms (e.g. IIROC, MFDA, etc.)
 - Monitoring
 - Pre-Approval vs. Post-Review
 - Linking/Following
- Your Firm's Social Media Policy
 - External consultants
- Personal vs. Business Use of Social Media Platforms

Profile Basics

Picture, Name & Title



The image shows a screenshot of a LinkedIn profile page. At the top is the LinkedIn navigation bar with the logo, 'PREMIUM' status, a search bar, and navigation links for Home, Profile, Connections, Jobs, and Interests. On the right side of the navigation bar are icons for Business Services and Upgrade, along with notification and profile icons.

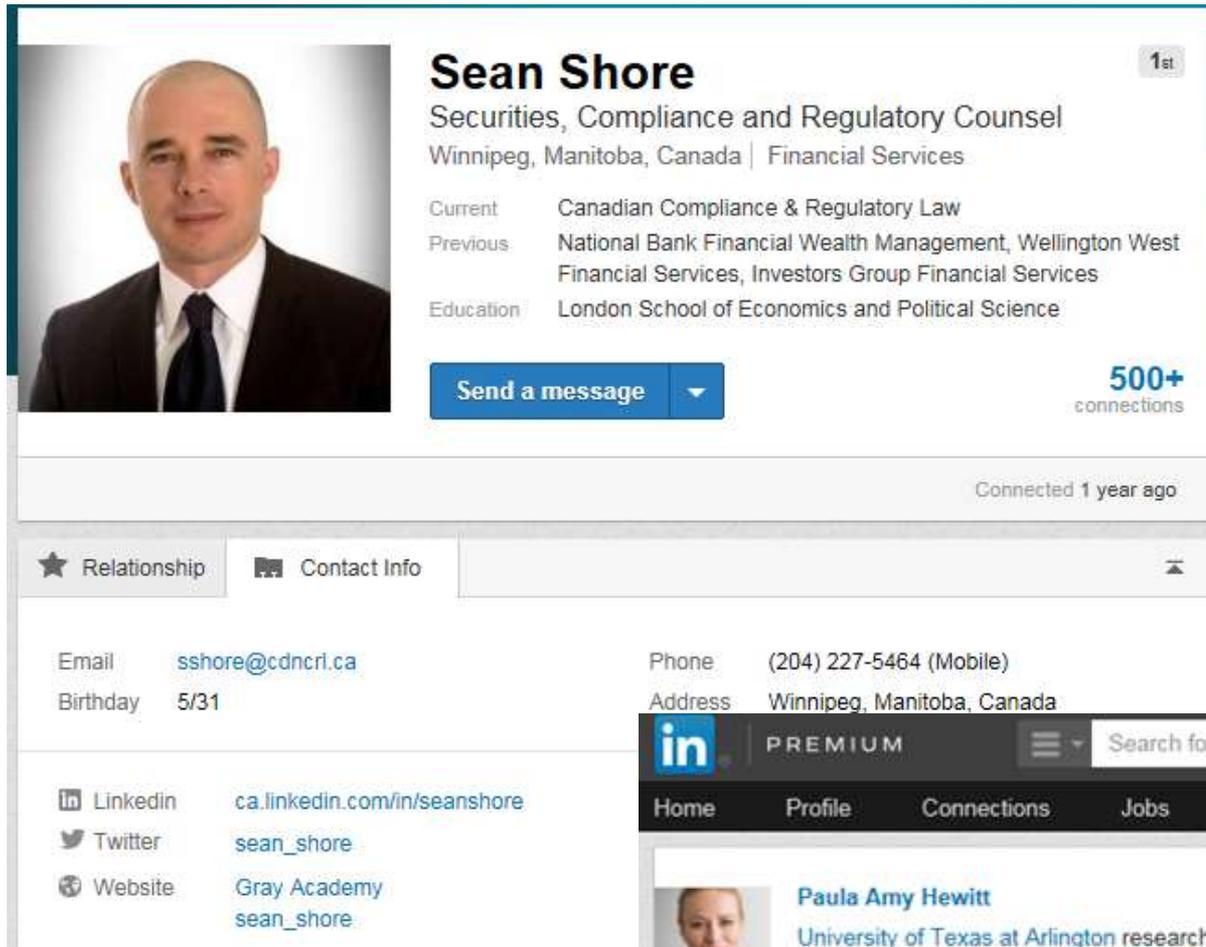
The main content area features the Dundee logo on the left, which consists of a blue geometric shape and the word 'DUNDEE' in large blue letters. To the right of the logo is the profile information for Paula Amy Hewitt. Her name is followed by her credentials: BA, JD, CAMS, CPIM, CIPT, CIPP/C, and a 'PREMIUM' badge. Her current title is 'Legal Counsel & Privacy Officer at Dundee Capital Markets', and her location is 'Toronto, Canada Area | Capital Markets'.

Below the title, her work history is listed: 'Current' at Dundee Capital Markets & Dundee Goodman Private Wealth, and 'Previous' at Fasken Martineau DuMoulin, McMillan LLP, and Wildeboer Dellelce LLP. Her education is listed as 'University of Toronto'.

At the bottom of the profile information section are two buttons: 'Complete your profile' and 'Edit Profile'. To the right of these buttons is a '500+ connections' badge. Below the profile information is a link to her profile page: 'ca.linkedin.com/in/paulaamyhewitt' and a 'Contact Info' button.

Profile Basics

Picture, Name & Title



Sean Shore 1st

Securities, Compliance and Regulatory Counsel
Winnipeg, Manitoba, Canada | Financial Services

Current Canadian Compliance & Regulatory Law
Previous National Bank Financial Wealth Management, Wellington West
Financial Services, Investors Group Financial Services
Education London School of Economics and Political Science

[Send a message](#) 500+ connections

Connected 1 year ago

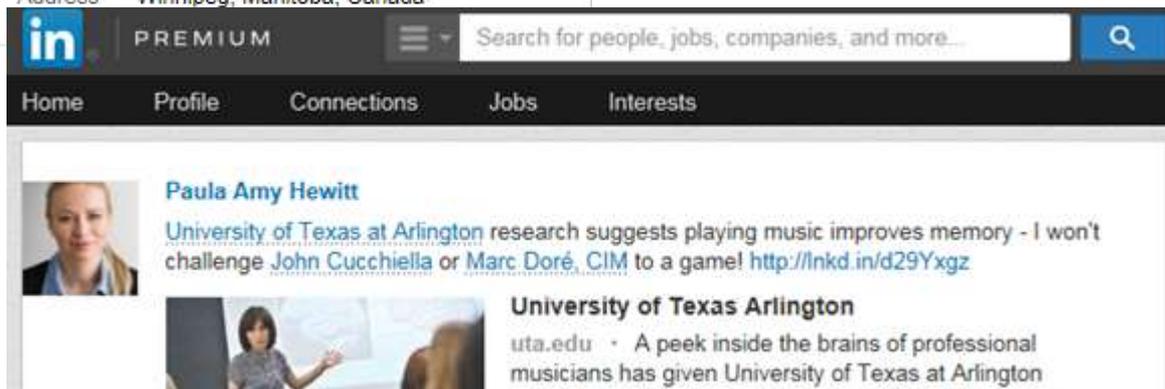
★ Relationship Contact Info

Email sshore@cdncr.ca
Birthday 5/31

Phone (204) 227-5464 (Mobile)
Address Winnipeg, Manitoba, Canada

[LinkedIn](#) ca.linkedin.com/in/seanshore
[Twitter](#) [sean_shore](#)
[Website](#) [Gray Academy](#)
[sean_shore](#)

- Professional Picture
- Legal Name Only
- Title (Consider Registrations)
- Designations/Degrees
- Contact Information



in PREMIUM Search for people, jobs, companies, and more...

Home Profile Connections Jobs Interests

Paula Amy Hewitt
University of Texas at Arlington research suggests playing music improves memory - I won't challenge John Cucchiella or Marc Doré, CIM to a game! <http://lnkd.in/d29Yxgz>

University of Texas Arlington
uta.edu · A peek inside the brains of professional musicians has given University of Texas at Arlington

Picture, Name & Title

Descriptive Version

The image shows a LinkedIn profile page for Paula Amy Hewitt. At the top is the LinkedIn navigation bar with the logo, 'PREMIUM' status, a search bar, and navigation links for Home, Profile, Connections, Jobs, and Interests. The main header features the Dundee Capital Markets logo and name. The profile section includes a profile picture of Paula Amy Hewitt, her name, title 'Canadian Lawyer Passionate About the Capital Markets', and location 'Toronto, Canada Area | Capital Markets'. It also lists her current employer 'Dundee Capital Markets & Dundee Goodman Private Wealth', previous employer 'Fasken Martineau DuMoulin, McMillan LLP, Wildeboer Dellelce LLP', and education at the 'University of Toronto'. Action buttons for 'Complete your profile' and 'Edit Profile' are visible, along with a '500+ connections' badge. The footer shows the profile URL 'ca.linkedin.com/in/paulaamyhewitt' and a 'Contact Info' button.

LinkedIn PREMIUM Search for people, jobs, companies, and more... Advanced 3

Home Profile Connections Jobs Interests Business Services Upgrade

DUNDEE

Paula Amy Hewitt PREMIUM

Canadian Lawyer Passionate About the Capital Markets

Toronto, Canada Area | Capital Markets

Current Dundee Capital Markets & Dundee Goodman Private Wealth

Previous Fasken Martineau DuMoulin, McMillan LLP, Wildeboer Dellelce LLP

Education University of Toronto

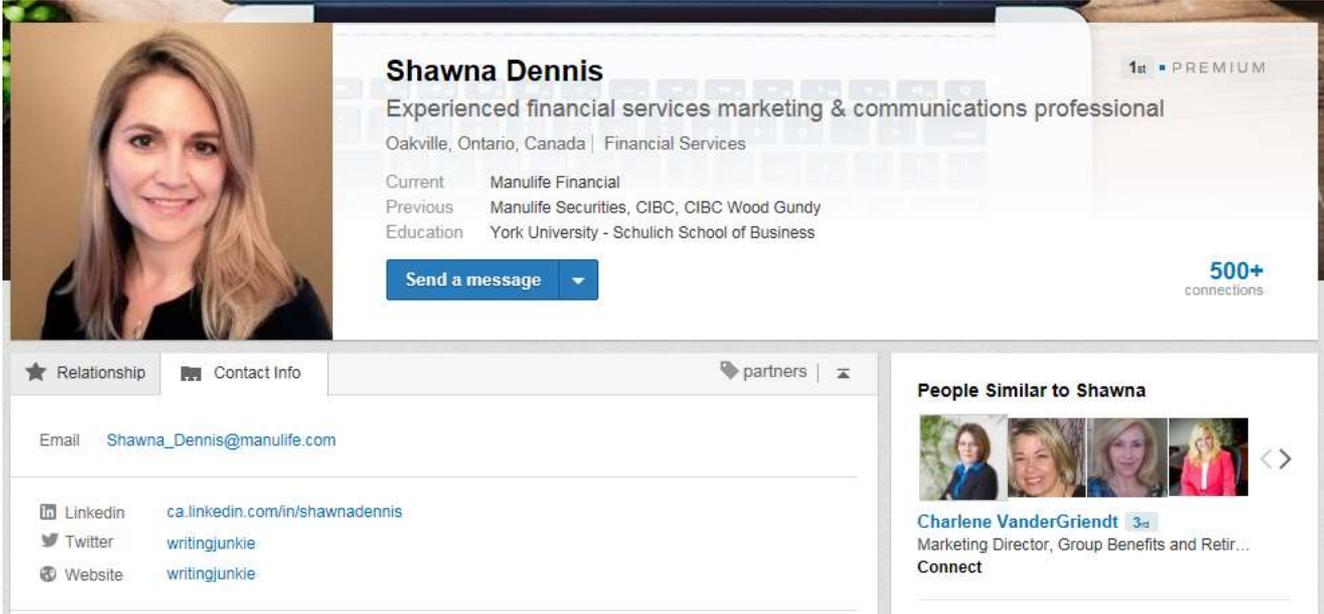
[Complete your profile](#) [Edit Profile](#) ▼

500+
connections

ca.linkedin.com/in/paulaamyhewitt [Contact Info](#)

Picture, Name & Title

Descriptive Version



The image shows a LinkedIn profile for Shawna Dennis. The profile includes a professional headshot of a woman with blonde hair. The name 'Shawna Dennis' is prominently displayed, followed by the title 'Experienced financial services marketing & communications professional'. The location is listed as 'Oakville, Ontario, Canada | Financial Services'. The current employer is 'Manulife Financial', with previous employers listed as 'Manulife Securities, CIBC, CIBC Wood Gundy'. The education section mentions 'York University - Schulich School of Business'. A 'Send a message' button is visible. The profile also shows '1st' status, 'PREMIUM' badge, and '500+ connections'. Below the main profile, there are tabs for 'Relationship' and 'Contact Info', with 'Contact Info' selected, showing an email address 'Shawna_Dennis@manulife.com'. Social media links for LinkedIn, Twitter, and Website are provided, all pointing to 'writingjunkie'. A 'People Similar to Shawna' section is visible on the right, featuring a carousel of profile pictures and a recommendation from Charlene VanderGriendt, Marketing Director at Group Benefits and Retirement.

- Professional Picture & Legal Name
- Description (Consider Registrations)
- Contact Information Should Reflect Employer

Profile Basics

What You Say About Yourself

Background



Summary

I have been legal counsel, privacy officer and secretary at Dundee Securities Ltd., an investment dealer, since May 2009. As part of my role, I am certified in Privacy (CIPM, CIPP/C, CIPT) and Anti-Money Laundering (CAMS).

Prior to working at Dundee, I was an associate at Fasken Martineau, McMillan and Wildeboer Dellece, focusing on securities law.

I am also a die-hard Montreal Canadians fan. GO HABS GO!!!

Summary

Background



Summary

With more than 10 years of legal & compliance experience in the brokerage industry, Paula Amy Hewitt is a business partner with Dundee's institutional and retail platforms. Paula's role is facilitating the delivery of exceptional client services, structuring and closing corporate finance mandates and supporting business development while mitigating legal, compliance and governance risk in an ever-changing and increasingly complex regulatory environment.

Paula has several industry-related qualifications and professional memberships in addition to a strong knowledge of dealer systems, operations and trading processes, bringing an informed, practical and responsive approach to legal matters that are tailored specifically to client needs and the strategic direction of the business.

Paula has skills and experience in the following areas: Securities Law, Insurance Law, Securities Regulation, Investment Dealer Compliance, Broker-Dealer Compliance, Insurance Compliance, Privacy (CIPM, CIPP/C, CIPT), Anti-Money Laundering (CAMS), Risk Management, Capital Markets, Corporate Finance, Mergers & Acquisitions, Due Diligence, Mining, Derivatives, Corporate/Commercial Law and Corporate Governance.

- Do not repeat information
- Market yourself
- Professional Registrations
- Google Juice
- Compliance Approval

Experience



Experience

Legal Counsel & Privacy Officer

Dundee Capital Markets & Dundee Goodman Private Wealth
May 2009 – Present (5 years 7 months) | Toronto, Canada Area



▶ 1 project

▼ 1 recommendation



Robert Percival

Technology and Outsourcing Law - Norton Rose Fulbright Canada LLP

Strong and savvy business skills and a consummate legal professional with superb attention to detail. A real pleasure to work with. [View ↓](#)

Associate, Global Mining

Fasken Martineau DuMoulin
May 2007 – May 2009 (2 years 1 month) | Toronto, Canada Area



- From Resume?



Experience

Legal Counsel & Privacy Officer

Dundee Capital Markets & Dundee Goodman Private Wealth
May 2009 – Present (5 years 7 months) | Toronto, Canada Area



- Provide legal advice on all aspects of operations
- Draft/Review commercial and employment contracts
- Prepare client forms and disclosure
- Responsible for compliance related to applicable privacy laws
- Deal with regulators concerning compliance, complaints, inquiries and investigations
- Manage junior lawyers, clerks and external counsel

Experience



Experience

Securities, Compliance and Regulatory Counsel

Canadian Compliance & Regulatory Law

August 2014 – Present (4 months) | Winnipeg, Canada Area

My practice focuses on securities law, compliance and regulatory issues for participants in the financial services industry. This includes advice in the following areas: registration; supervision; policy creation combined with operational implementation; compliance training; anti-money laundering; complaint analysis and resolution; audit preparation, analysis and resolution; and litigation related support.

- ▶ 1 project
- ▶ 1 organization

Manager, Business Conduct

National Bank Financial Wealth Management

November 2011 – July 2014 (2 years 9 months) | Winnipeg, Canada Area

Responsible for the transactional compliance supervision of all retail investment advisors in Canada located in jurisdictions outside of Quebec for National Bank Financial (a dealer member of the Investment Industry Regulatory Organization of Canada) with offices across Canada.



- Accurate & Descriptive
- Registrations
- Compliance Approval

Skills & Endorsements



Skills

Top Skills

- 46 Habs Fan
- 39 Capital Markets
- 22 Mergers & Acquisitions
- 17 Corporate Governance
- 14 Corporate Law
- 14 Securities Regulation
- 14 AML
- 12 Insurance
- 11 Drag Racing
- 10 Corporate Finance



Paula Amy also knows about...

What skills or expertise do your connections have?



Does **Marco Zaino, MBA, FCSI** know about **Wealth Management**?

+ Endorse



Does **Nicholas Gallelo, PMP** know about **Risk Management**?

+ Endorse



Does **Lou Mastrangelo** know about **Financial Services**?

+ Endorse



Does **Bonita Sears** know about **New Business Development**?

+ Endorse

- Professional & Relevant
- Registrations
- Google Juice
- Compliance Approval
- Adding Skills
- Endorsing Others

Other Ways to Market Your Skills



Organizations



Volunteer Experience & Causes

Co-Chair, K/W-Oakville Chapter

Manulife's Global Women's Alliance

July 2014 – Present (5 months)

Vice President

BWFL (Burlington Women's Fastball League)

September 2011 – October 2013 (2 years 2 months)

Vice President

BWFL (Burlington Women's Fastball League)

September 2009 – September 2010 (1 year 1 month)

Secretary

BWFL (Burlington Women's Fastball League)

September 2008 – September 2009 (1 year 1 month)

Opportunities Shawna is looking for:

- Skills-based volunteering (pro bono consulting)

Causes Shawna cares about:

- Arts and Culture
- Children
- Health

Market Rules Advisory Committee - Investment Industry Regulatory

Organization of Canada

Independent Representative

September 2014 – Present

The IIROC Market Rules Advisory Committee provides advice to staff and the President of IIROC regarding proposed amendments to UMIR, draft guidance on the interpretation or application of UMIR and other policy matters related to market regulation.



Courses

Independent Coursework

- Canadian Securities Course (CSI)
- Conduct and Practices Handbook Course (CSI)
- Partners, Directors and Senior Officers Course (CSI)
- Trader Training Course (CSI)
- Chief Compliance Officers Qualifying Exam (CSI)
- Understanding Investment Dealer Business Units Course (CSI)
- Applied Investment Dealer Compliance (CSI)
- Branch Managers Course (CSI)
- Life Licence Qualification Program (LLQP)
- Guidelines for IIROC Advisors Using Social Media (CSI)



Certifications

Certified Information Privacy Manager (CIPM)

International Association of Privacy Professionals

August 2013 – Present

Certified Information Privacy Technologist (CIPT)

International Association of Privacy Professionals (IAPP)

March 2014 – Present

- Organizations
- Certifications
- Volunteer
- Courses

What You Don't Realize You Are Saying About Yourself

- Connections
- Groups/Following
- Settings

People Also Viewed



Catherine Hooper
President at Black Umbrella LLC



Laurence Curtis Ward
Experienced Professional Open to Opportunities



Lee Andrew
analyst at Bernard L. Madoff Investment Securities



Ron Hooley
Director at Wells Fargo Securities



Vinny Garcia
Trader at Bernard L. Madoff Investment securities



kyler dunst
CFO at Bernard L. Madoff Investment Securities



Barack Obama
President of the United States of America



Bernie Madoff

Inmate at Federal Correctional Complex
Raleigh-Durham, North Carolina Area | Financial Services

Previous Between Jobs, Bernard L. Madoff Investment Securities LLC,
National Association of Securities Dealers

Send Bernie InMail

1

connection

www.linkedin.com/in/berniemadoff

Background



Summary

Long time financier, philanthropist and political donor.

Specialties: securities, penny stocks, hedge funds, payment for order flow, laundry operations and license plate manufacture.



Star Wars Jedi Teachers

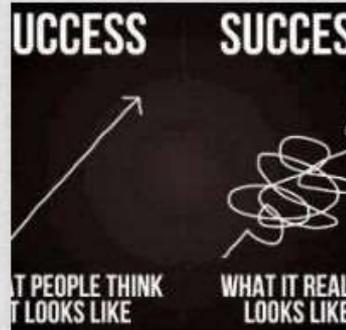
Discussions

Promotions

Jobs

Members

Search



What Jedi mind tricks do you use in your practice as a Jedi Teacher-Leader? *Manager's Choice*

Patricia Swank

Teacher at Highland CUSD #5

Like • Follow • April 1, 2013

Advertising Your Competitors

People Also Viewed



Michelle Mundick
Director, Marketing and Communications at Sun Life Financial



Lisa Arnold
Director, Marketing Communications at Manulife Financial



Victoria Al-Samadi
Social Media Strategist



Penny Wilson
Assistant Vice-President, Marketing & Communications



Brendan Kenalty
AVP - Digital Properties at Manulife Financial



Ilsa Williams
Marketing Consultant, Marketing & Communications



Charlene VanderGriendt
Marketing Director, Group Benefits and Retirement Solutions Small Business at Manulife

- People Also Viewed
- Connections

Connections

All (500+) Shared (6) New (3) 🔍

	Kristin Shevis 2nd VP North America at Conversocial Connect · 3		Richard Vetter 2nd Owner of WealthSmart Financial Group, Certified Financial Planner with Manulife Securities Incorporated Connect · 3
	David Turnbull 2nd Head of Private Company Advisory, Manulife Capital Markets Connect · 10		Philip Petursson 2nd AVP & Managing Director, Portfolio Advisory Group Connect · 1
	Dylan Fedy 2nd Experienced Marketing Leader ♦ Digital Marketing Strategist ♦ Customer Insight & Analytics Expert ♦ Technology Enthusiast Connect · 3		Mimi Majumder 2nd Manager, Affiliate Relationship Management Connect · 2

What Else You Don't Realize You Are Saying

- **Security Settings**

- ✓ Location
- ✓ Notifications

- **Other Settings**

- ✓ Hidden & Visible
- ✓ Audience

- **Account Control**

- ✓ Passwords
- ✓ WiFi
- ✓ Mobile Devices

The screenshot shows the LinkedIn account settings page for Paula Amy Hewitt, a member since July 6, 2011. The page is divided into several sections:

- Primary Email Change/Add:** phewitt@dundee-capital-markets.com
- Payment:** Manage billing information, View purchase history
- Your active sessions:** See where you're logged in
- Account Type: Business:** Premium features tour, Compare account types, Downgrade or cancel your Premium account
- Get More When You Upgrade!:** More communication options, Enhanced search tools
- InMails:** 9 available Purchase
- Open Profile:** Accepting messages Change
- Premium Profile:** Display Premium or Basic Profile Change
- Frequently asked questions:** Managing Account Settings, Can't Find "Settings" or "Sign Out" Links, Viewing and Editing Subgroup Settings, Group Member Settings, Accessing Settings on the LinkedIn Mobile App
- You are using the new settings page. Send us feedback**

The bottom section of the page is divided into three columns:

- Profile:** Profile, Communications, Groups, Companies & Applications, Account
- Privacy Controls:** Turn on/off your activity broadcasts, Select who can see your activity feed, Select what others see when you've viewed their profile, Turn on/off How You Rank, Select who can see your connections, Change your profile photo & visibility », Show/hide "Viewers of this profile also viewed" box, Manage who you're blocking »
- Settings:** Manage your Twitter settings, Manage your WeChat settings, Helpful Links: Edit your name, location & industry », Edit your profile », Edit your public profile », Manage your recommendations »

Posts, Comments, Shares & Likes

Use of Social Media for Business Purposes is a Registrable Activity

- Misleading Content or Omissions
- Professional Advice
- Topics to Avoid

U.S. broker's Facebook misstep leads to fine, suspension

Mon, Sep 16 2013

By [Suzanne Barlyn](#)

(Reuters) - A Facebook post defending a drug company stock has spurred more than a year of headaches for a broker who has been fined and suspended in a case that highlights the perils of running afoul of the securities industry's social media rules.

Charles Matisi's 2012 Facebook post took issue with a Barron's article that cautioned against buying Arena Pharmaceuticals Inc's stock too high, given some of the hurdles it faced to bring a key weight loss drug to market.

His remark was "not fair and balanced," FINRA said in the settlement, and omitted key details, including the fact that he and 33 of his customers owned Arena shares.

Disclaimers

- Posts & Profile
- Firm Social Media Policy
- Sale Communication Requirements



Paula Amy Hewitt

@PaulaAmyHewitt

Lawyer, Dundee Capital Markets & Dundee Goodman Private Wealth. Comments and opinions are my own and not Dundee's.

📍 Toronto

🔗 [ca.linkedin.com/in/paulaamyhew...](https://ca.linkedin.com/in/paulaamyhewitt)

🕒 Joined November 2012

Additional Info

Profile

Advice for Contacting Paula Amy

The opinions, endorsements and recommendations expressed in my profile do not necessarily reflect those of Dundee Securities Ltd. or its affiliates. This is not an official publication of Dundee Securities Ltd. and I am not a research analyst with Dundee Securities Ltd.

Disclaimer

Publications

Although the author is an employee of Dundee Securities Ltd., this is not an official Dundee publication, the author is not a Dundee research analyst and the views expressed herein are those of the author alone, and they have not been approved by, and are not necessarily those of, Dundee. This is not legal advice and should not be relied as such.

Additional Info

Additional Info

Interests

Reading, writing, social media, professional and personal development, health & fitness, family

Personal Details

Marital Status Married

Advice for Contacting Shawna

If we don't know each other, please explain why you wish to connect...

And no spam please - I'm not interested in Lead Generation or list services!

- Personal details
- CASL Notice

- Protecting your network
- Disclaimer

Additional Info

Interests

Cycling, swimming, weight training, public speaking, teaching, volunteering

Personal Details

Birthday May 31

Advice for Contacting Sean

Please take a few moments to provide to me some context in terms of how we know each other (as I only connect with people that I have met in order to ensure the integrity of my network).

Languages



Languages

French

Native or bilingual proficiency

English

Native or bilingual proficiency

- Bilingual profile
- Compliance pre-approval



Paula Amy Hewitt

Conseiller juridique et responsable de la confidentialité

Toronto, Canada Area | Capital Markets

Current: Marchés financiers Dundee et Gestion privée Dundee Goodman
Previous: Fasken Martineau DuMoulin, McMillan LLP, Wildeboer Dellelce LLP
Education: Université de Toronto

Background



Summary

Avec à mon actif plus de 10 ans d'expérience en droit et en conformité dans le secteur du courtage, je suis une partenaire de Dundee pour ses plateformes institutionnelle et de détail. J'ai pour rôle de contribuer à la prestation d'un service à la clientèle exceptionnel, de structurer et de conclure des mandats financiers pour les entreprises et d'œuvrer pour le développement des affaires tout en atténuant les risques juridiques et les risques en matière de conformité et de gouvernance dans un cadre réglementaire en constante évolution, de plus en plus complexe.