

CLS Education Sub-Committee Breakfast Seminar

Discussion on the recent IIROC Notice on Business Titles and Financial Designations and the Proposed Guidance.

This seminar will offer an opportunity to discuss IIROC's Guidance Notice for Comment regarding the use of business titles and financial designations. The Notice can be found [here](#).

The focus of the discussion will include:

- Multiplicity of business titles and financial designations.
- Draft Guidance regarding the responsibilities of Dealer Members and their licensed individuals.
- Implementing best practices and supervisory systems.

Questions in advance are encouraged and welcomed by the Panel.

Speakers: **Marc Flynn**, Senior Director – Regulatory Relations and Credentialing, Canadian Securities Institute (CSI). Marc oversees CSI's relationship with IIROC and other regulators as well as all CSI designations and certificates.

Rossana Di Lieto, LL.B, M.B.A., Vice President, Registration, Complaints & Inquiries, Investment Industry Regulatory Organization of Canada.

John Morton, CA, LL.B, Managing Director, Retail Compliance & CCO for the ScotiaMcLeod and Scotia iTrade divisions of Scotia Capital Inc.

Date: Wednesday February 20th, 2013.

Time: 7:45 – 8:00 AM Continental Breakfast
8:00 – 9:15 AM Presentation

Location: The Algonquin Room, 333 Bay Street, **Bay Adelaide Centre**, 24th Floor. Located on the corner of Bay & Adelaide – enter at street level.

Cost: \$35.00 + HST

Payment: Individual registration via credit card only.

Registration Deadline: **February 13th, 2013** (Registration may be closed earlier due to limited seating capacity). Registration will not be permitted at the door.

To Register: [\[CLICK HERE\]](#)

We encourage you to submit a question or hypothetical events that you would like our speakers to address at this seminar, please email chair@clseducation.ca. All questions will be anonymous.

Please note that there will be no presentation material provided. Additionally, this session will not be taped for future dissemination.

SAVE THE DATE:

Please note our Annual Compliance Conference will be held on **Tuesday December 3rd, 2013** at the Metro Toronto Convention Centre, so mark your calendars now to attend. We also invite you to bookmark our new website, www.clseducation.ca, and check the Events page frequently as information about dates and topics for our upcoming events will be posted there in advance of the invitations to register.

Housekeeping: *"The views and opinions expressed in the upcoming presentation are those of the authors who are solely responsible for the content. The views expressed may not necessarily reflect the views of IIROC or of the CLS Education Sub-Committee."*