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For distribution to relevant parties within your firm

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## **Educational Web Cast for Branch Managers & Advisors**

### **Safeguarding Communication- Email Issues & Hazards, Policies to Consider**

In today's connected world, email is undeniably a critical business tool. But behind the convenience looms a real threat to the security of your business. There are particular dangers of electronic communications and a myriad of issues an Advisor should be concerned about. What types of communication are permissible from a regulatory perspective? How does email impact taking instructions from a client? Do email instructions need to be placed in a client's file? What strategies are needed to manage email history, back-up and client confidentiality? What are the protocols required if laptops, blackberries or files are lost? What are the policies and issues concerning their implementation that firms need to address? Policies and protocols based on common sense and best practice are required as we move into the 21<sup>st</sup> century.

The next Member Services web cast entitled Safeguarding Communication- Email Issues & Hazards, Policies to Consider, has been designed to assist firms with the task of following safe electronic communication practices, ensuring adherence to rules covering electronic communications, and best practices considerations.

Jeremy Devereux, will be joining us as a subject matter expert on implications of electronic communications for Advisors. Jeremy Devereux is with Ogilvy Renault law firm in Toronto. Mr. Devereux frequently provides advice to and represents participants in the financial markets, including investment dealers, mutual fund managers, mutual fund dealers and portfolio managers, with respect to matters involving provincial securities commissions, the Investment Dealers Association, the Mutual Fund Dealers Association, Market Regulation Services, arbitrators and the courts. Jeremy's colleague Sophie Melchers will support the French web cast.

The Safeguarding Communication- Email Issues & Hazards, Policies to Consider for Risk Management web cast will take place on November 13, 2007 at 4pm EDT in English and November 14, 2007 at 4pm EDT in French. For those experiencing a scheduling conflict a replay of the web cast will be made available. Each part of the web cast will be 45 minutes in length and participants will be eligible for one hour of Continuing Education credit (CE Credit) which can be applied against fulfilling their compliance requirement.

To keep informed of upcoming Member Services events, simply subscribe to the IDA's e-publications service at [www.ida.ca](http://www.ida.ca) and select the following categories: "Adviser Educational Web Casts" and "Events – Educational Events and Seminars." E-publications is a free, self-managed system, whereby subscribers can change their selection criteria whenever and as many times as they want, making it a quick and easy way to receive information.

Additional information about the program as well as the Registration forms are available at [http://www.ida.ca/Media/Events\\_en.asp](http://www.ida.ca/Media/Events_en.asp)

Kenneth A. Nason  
*Association Secretary*