

# IIROC NOTICE

## Education Notice

*Please distribute internally to:*

Corporate Finance  
Credit  
Institutional  
Internal Audit  
Legal and Compliance  
Operations  
Registration  
Regulatory Accounting  
Research  
Retail  
Senior Management  
Trading Desk  
Training

*Contact:*

Adrian Carter  
Director, Educational Services  
416 943-6247  
[acarter@iiroc.ca](mailto:acarter@iiroc.ca)

19-0199

November 18, 2019

## **New Webcast: Protecting Investors: Dealing with Vulnerable Investors/Safe Harbour**

This webcast shares research data collected by IIROC on investors' understanding and support for three key concepts: the trusted contact person, temporary holds on accounts and a safe harbor provision. The findings are quite interesting and lead to a fulsome panel discussion on how the industry can best protect vulnerable investors.

The presentation was moderated by Lucy Becker, Vice President of Public Affairs and Member Education Services, IIROC. Panel participants included: Laura Tamblyn Watts, University of Toronto; Christopher J. Enright, Aligned Capital Partners Inc.; Paula Amy Hewitt, Raymond James.

Your completion of this webcast will earn you **1.0 hours of IIROC Continuing Education Compliance Credits.**



This webcast will be available for viewing commencing on November 18 at 7:00 am Eastern time and on a 24/7 basis after that date.

Please note that there is no accompanying quiz for this webcast. Upon completion of the webcast, participants will be issued an electronic and personalized Continuing Education credit (1.0 CE credit) certificate which can be applied to their **Compliance Requirements**.

[Click here to register.](#)

To register for this webcast, please click on the link above. To access a full list of available CE accredited webcasts, please click [here](#).

To access all upcoming Member Education Services Events, simply subscribe to IIROC's ePublications service at [www.iiroc.ca](http://www.iiroc.ca) and select the following categories: "Education Notices" and "Member Events." ePublications 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.