



## **CLS Education Sub-Committee Breakfast Seminar**

**Topic: Risks of Cross Licensing Reps in Insurance and Securities**

### **Description**

This seminar will offer an opportunity to discuss the current marketplace as it relates to the Cross Licensing of representatives in Insurance and Securities.

Topics that will be focused on will include:

- Key features of Segregated Funds for due diligence review
- Compliance challenges & Best practices
- Conflicts of interest and disclosure / Outside Business Activities

**Questions in advance are encouraged and welcomed by the Panel.**

**Speakers:** Jacqueline Hatherly, Chief Compliance Officer, Manulife Securities.  
John Kruk, Lawyer, Fasken Martineau.  
Stephanie McManus, Principal, Compliance Support Services.

**Date:** Friday October 15, 2010.

**Time:** 7:45 – 8:15 AM Continental Breakfast 8:15 – 9:30 AM Presentation

**Presentation Venue:** The Rideau Room, 333 Bay Street, **Bay Adelaide Centre**, 24<sup>th</sup> Floor.  
Signage and representatives will be on hand for directions.  
Located on the corner of Bay & Adelaide – enter at street level (TTC - Exit at King Subway station)

**Cost:** \$35 Cdn + HST

**Payment:** Individual Registration via Credit Card only, cheques will NOT be accepted.

**Registration Deadline: October 13<sup>th</sup>, 2010** (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 [msmith@mqisecurities.com](mailto:msmith@mqisecurities.com). All entries are anonymous.**

**Due to the sensitive nature of this topic, there will be no presentation material provided, additionally, this session will NOT be taped for future dissemination.**

**SAVE THE DATE:**

Please note our annual conference will be held on **Thursday December 2, 2010** at the Metro Toronto Convention Centre, so mark your calendars now to attend. Further details will follow in September.

**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 the CLS Education Sub-Committee."*