

Institutional Traders Customized Compliance Course CE Credits



Gowlings professionals Ellen Bessner and Paul Dempsey have developed a comprehensive, customizable compliance course that allows firms and their employees to earn their required Institutional Dealers Association of Canada (IDA) continuing education (CE) credits, while addressing issues and risks that are of particular concern.

Institutional securities dealers face different issues and risks than traders who deal in the retail securities market. Ellen and Paul use real life examples in an interactive approach to alert traders to their everyday risks.

Traders will learn the true meaning of "culture of compliance" and will receive tips and tools for creating and maintaining such a culture. There are no exams, scheduling and the location of courses can be arranged to suit your needs. The courses address a wide range of topics including:

- values and principles underlying securities regulation
- ethics and professionalism
- IDA and UMIR requirements
- conflicts of interest and client priority
- how to protect yourself through a variety of methods including record keeping, proper documentation, and internal controls

Learn to protect yourself and your firm by acquiring hands-on training providing tips and tools for everyday challenges.

Visit our website at gowlings.com/courses for additional details, or contact Ellen Bessner or Paul Dempsey at 416.862.7525 to discuss customized options.



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Why Choose Gowlings?

- interactive live presentations by Gowlings' experienced lawyers
- customized training to meet your specific objectives
- no exams, only in-class exercises
- scheduling and locations of courses to fit your needs
- courses taught in English and French
- courses available throughout Canada



Ellen Bessner is a Partner in Gowlings' Toronto office where she regularly represents financial institutions, brokerage firms, corporations and executives, and supervisors in all aspects of commercial, securities and professional liability claims. She

has appeared before various courts and tribunals including the Investment Dealers Association, Mutual Fund Dealers Association, the Ontario Securities Commission and Market Regulation Services. Ellen is a prolific speaker and regularly writes for industry publications on matters of risk management and compliance. Her articles have been featured in one of Canada's national newspapers. Ellen was called to the Ontario Bar in 1989.

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Paul Dempsey is a Partner in Gowlings' Toronto office where he practises securities law focusing on investment funds and issues related to money management. Paul advises investment funds and portfolio managers on a wide range of

issues including new product development and regulatory compliance. He also advises dealers on registration and compliance issues. Prior to joining Gowlings, Paul was the Manager of Investment Funds at the Ontario Securities Commission. He has published numerous articles on investment fund issues. Paul was called to the Ontario Bar in 1990.

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Gowlings is a leading Canadian law firm offering a diverse range of services to help domestic and international organizations achieve their business objectives. Recognized for excellence in business, advocacy and intellectual property law, Gowlings provides dedicated industry expertise in a number of sectors including energy, infrastructure, life sciences, financial services and technology. The Firm combines traditional legal services with innovative solutions in areas such as transfer pricing and tax, government relations and occupational health and safety, to provide business entities with a competitive advantage. Characterized by national strength and regional focus, Gowlings has 700 professionals across offices in Montréal, Ottawa, Toronto, Hamilton, Waterloo Region, Calgary and Vancouver. The Firm also provides intellectual property services in Russia and the CIS through its office in Moscow. Visit us at gowlings.com.



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