

The Manitoba Securities Commission has prepared a series of two on-going presentations specifically designed for individuals that are working within the securities industry. Although the Securities Commission is the regulator for the securities industry, the purpose of the presentations are two-fold. We would like to first, "demystify" the operations of the Manitoba Securities Commission and secondly, work towards a positive partnership with industry practitioners. The presentations will provide insights into the investigation, hearing and audit process, how to safe guard your practice, what you can and can not do as a registrant, Branch Manager responsibilities and advertising standards.

The first presentation in the series will be given by Doug Brown, legal counsel for the Manitoba Securities Commission. Doug will addressing the following issues:

- 1) KYC as the cornerstone
- 2) Common sense business practices
- 3) The investigation process
- 4) The hearing process
- 5) Case Studies

The second presentation in the series will be given by Glenn Lilies, Auditor for the Manitoba Securities Commission. Glenn will addressing the following issues:

- 1) The audit process-from initial interview to file review to recommendations
- 2) Common sense business practices
- 3) File retention
- 4) Outcomes
- 5) Case studies

Should your organization be interested in having Doug and or Glenn come out and speak to a group of individuals or if you have additional questions, please feel free to contact me at 945-4733. If you are not able to accommodate those wishing to attend the presentation, the Manitoba Securities Commission would be happy to host your group at our office.

Please watch your mail box or check out our web site's "What's New" section for information on up-coming presentations.

Sincerely,

Ainsley Cunningham  
Education and Information Officer  
Manitoba Securities Commission