

Insights, News & Events

# SECURITIES INDUSTRY AND FINANCIAL MARKETS ASSOCIATION (SIFMA) 2017 COMPLIANCE & LEGAL ANNUAL SEMINAR

Avoiding Pitfalls in the Recruitment Process

Event  
Mar 21, 2017

San Diego, CA

David Erb was a panelist on a roundtable at SIFMA's national 2017 Compliance and Legal Annual Seminar. The panel addressed how to identify and avoid myriad legal issues that may arise in the recruitment and transition of financial advisors, including issues concerning the Protocol for Broker Recruiting, Regulation S-P, the federal Defend Trade Secrets Act, ban-the-box and pay equity legislation, use of social media, smartphones and BYOD policies, among other issues.

## Related People



**David W. Erb**

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