

# **You've Got Mail ... Now What?**

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The inappropriate use of email can spell disaster for registered investment advisors (RIAs), particularly for firms with multiple offices or remote workers, and for those with employees who use personal devices to transact business.

There are measures that RIAs can take to protect themselves in the event of issues involving indiscriminate email usage or regulatory audits. An email policy is a start, but advisors are best served - and in compliance - when they actively monitor emails and enforce policy.

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