

IIROC – CLS COMPLIANCE CONFERENCE 2013

7:45 am – 8:10 am	Registration and Continental Breakfast	
8:10 am – 8:15 am	<p>WELCOME AND INTRODUCTION</p> <p>David Lang <i>Chair, CLS Executive</i></p>	
8:15 am – 8:45 am	<p>IIROC PRIORITIES</p> <p>Rosemary Chan <i>Senior Vice President, Member Compliance, General Counsel and Corporate Secretary, IIROC</i></p>	
8:45 am – 9:30 am	<p>MORNING KEYNOTE SPEAKER</p> <p>William S. Rice <i>Chair, Alberta Securities Commission & Chair, Canadian Securities Administrators</i></p>	
9:35 am – 10:35 am	<p>Third Party Access - DMA Electronic Trading Rules <i>Torstein Braaten, Chief Executive Officer, Chief Compliance Officer, TriAct Canada Marketplace LP</i></p> <p><i>Deanna Dobrowsky, Vice President, Market Regulation Policy, IIROC</i> <i>Luana DiCandia, Director, Capital Markets Compliance, RBC Capital Markets</i></p>	<p>Compliance Conflict Challenges <i>Iva Vranic, Director, Control Room, Global Banking and Markets Compliance, Scotiabank</i></p> <p><i>Paula Hewitt, Legal Counsel, Dundee Capital Markets</i> <i>Sean Shore, Manager, Business Conduct Compliance, National Bank Financial</i> <i>Gina Yee, Partner, Fasken Martineau</i></p>
10:35 am – 10:50 am	Break and Refreshments	
10:50 am – 11:50 am	<p>Key IIROC Enforcement Priorities, Initiatives & Trends <i>Elsa Renzella, Vice President Enforcement, IIROC</i> <i>Ralph Gaston, Director Investigations, IIROC</i> <i>Jeremy Devereux, Partner, Norton Rose Fulbright Canada LLP</i> <i>John Fabello, Partner, Torys LLP</i></p>	<p>Amendments to the Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations <i>Michael Pawliw, Regional Director, Regional Operations and Compliance, FINTRAC</i> <i>Matthew McGuire, National Anti-Money Laundering Practice Leader, MNP LLP</i> <i>Steve Lashbrook, Director & Chief Anti-Money Laundering Officer, Bank of America Merrill Lynch</i></p>
11:50 am – 12:50 pm	Lunch Break	
12:50 pm – 1:50 pm	<p>Fraud & Information Security / Business Preparedness <i>Ed Rosenberg, Vice President and Chief Security Officer, BMO Financial Group</i> <i>Keith Matcham, Partner, Ernst & Young</i></p>	
1:50 pm – 2:50 pm	<p>OTC Derivatives and Canada: The Future Is Now <i>Kevin Fine, Senior Advisor, Derivatives Unit, Ontario Securities Commission</i> <i>Candace M. Pallone, Counsel, Structured Products Group, McCarthy Tétrault</i></p>	<p>CRM 2: A Primer on Implementation <i>Richard Corner, Vice President, Member Regulation Policy, IIROC</i> <i>Dan Bowering, Vice President Compliance, Richardson GMP</i> <i>Matthew Williams, Partner, Borden Ladner Gervais LLP</i> <i>Christopher Jepson, Senior Legal Counsel, Compliance and Registrant Regulation, OSC</i></p>
2:50 pm – 3:05 pm	Break and Refreshments	
3:05 pm – 4:05 pm	<p>CLOSING KEYNOTE ADDRESS</p> <p>Peter R. Greene & Gavin Tighe <i>Senior Partner, Affleck Greene McMurtry LLP Senior Partner, Gardiner Roberts LLP</i></p>	
4:05 pm – 4:20 pm	<p>CLOSING REMARKS & PRIZE DRAWING</p> <p>Neal Weston <i>Chair, CLS Education Sub-Committee</i></p>	

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When registering for the conference, you will be able to choose from the following breakout sessions:

<p>Third Party Access - DMA Electronic Trading Rules</p> <p>The panel discussion will cover the following items: Overview of the Third Party Access Rules and National Instrument 23-103; impact on IIROC dealers and their DEA Clients and update on electronic trading practices and market structure.</p>	<p><i>Or</i></p>	<p>Compliance Conflicts Challenges</p> <p>A fact-based exploration and scenario discussion.</p>
<p>Key IIROC Enforcement Priorities, Initiatives & Trends</p> <p>Hear IIROC senior staff present IIROC’s most recent and important enforcement priorities and trends, including substantive and procedural issues that impact registrants and in-house legal and compliance practice. Also covered will be an analysis of key legal and compliance practice points emanating from IIROC settlements and contested hearings over the past several quarters.</p>	<p><i>Or</i></p>	<p>Amendments to the Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations</p> <p>The panel discussion will focus on recent legislative changes to the Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations and the challenges faced by firms in implementing these new standards.</p>
<p>OTC Derivatives and Canada: The Future Is Now</p> <p>A panel discussion on recent regulatory developments in the Canadian OTC Derivatives market from the perspectives of regulatory, legal and buy-side professionals.</p>	<p><i>Or</i></p>	<p>CRM 2: A Primer on Implementation</p> <p>This session will review all aspects of phase 2 of the Client Relationship Model adopted by the CSA in July 2013. The rule changes are slated to come into effect through to July 2016, as well as in parallel with new IIROC rules to be publicized in the coming months. The session will give a brief overview of the components of phase 2 of CRM, discuss practical implementation from the perspective of an IIROC Dealer Member firm, and answer both technical and practical questions from both legal and regulatory viewpoints.</p>

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