

IIROC – CLS COMPLIANCE CONFERENCE 2014

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7:30 am – 8:00 am	Registration and Continental Breakfast	
8:00 am – 8:05 am	<p>WELCOME AND INTRODUCTION</p> <p>Jane Ratchford <i>Chair, CLS Executive</i></p>	
8:05 am – 8:30 am	<p>IIROC PRIORITIES</p> <p>Paul Riccardi <i>Senior Vice President, Member Regulation, IIROC</i></p>	
8:30 am – 9:30 am	<p>MORNING KEYNOTE SPEAKER</p> <p>Thomas S. Caldwell, C.M. <i>Founder and Chairman, Caldwell Securities Ltd.</i></p>	
9:35 am – 10:35 am	<p>Cyber Security – Protecting your Firm <i>Robert Beggs, Chief Executive Officer, DigitalDefence</i> <i>Ed Rosenberg, Vice President and Chief Security Officer, BMO Financial Group</i> <i>Insp. Terrance Drover, Officer in Charge, GTA Financial Crime -IMET</i></p>	<p>Best Execution – Best Practices <i>Torstein Braaten, Chief Executive Officer, Chief Compliance Officer, TriAct Canada Marketplace LP</i> <i>Dave Moore, Vice President Trade Supervision, BMO Capital Markets</i> <i>Naomi Solomon, Senior Policy Counsel, Market Regulation Policy, IIROC</i></p>
	10:40 am – 10:55 am	
10:40 am – 10:55 am	Break and Refreshments	
10:55 am – 11:55 am	<p>Dealing with Vulnerable Clients <i>Moderated by: John Fabello, Partner, Torys LLP</i> <i>Pat B. Chaukos, Manager, Compliance and Registrant Regulation, OSC</i> <i>Kelley Hoffer, Vice President & Chief Compliance Officer, TD Securities</i> <i>Elsa Renzella, Vice President Enforcement, IIROC</i></p>	<p>“The Brave New World of Suitability” <i>Sandy Martin, Senior Vice President and Chief Compliance Officer, Raymond James Ltd</i> <i>Al McDermott, Director, Retail Compliance, Scotiabank</i> <i>John Morton, Managing Director, Retail Compliance & Chief Compliance Officer, ScotiaMcLeod & Scotia iTrade</i></p>
	11:55 am – 1:00 pm	
11:55 am – 1:00 pm	Lunch Break	
1:00 pm – 2:00 pm	<p>Ethics <i>Jeremy Devereux, Partner, Norton Rose Fulbright Canada LLP</i> <i>Judith Ménard, Vice-President, Chief Compliance Officer Wealth Management and Acting Chief Compliance Officer - Financial Markets, National Bank of Canada</i> <i>Lorne Switzer, Head of Retail Compliance, BMO Nesbitt Burns</i> <i>Alexandra Williams, Chief Compliance Officer, Qtrade Financial Group</i></p>	
	<p>Ask the Regulator <i>Moderated by: Ellen Bessner, Partner, Babin Bessner Spry LLP</i> <i>Debra Foubert, Director Compliance and Registrant Regulation, OSC</i> <i>Warren Funt, Vice President, Western Canada, IIROC</i> <i>Brian Z. Gelfand, Vice President & Chief Regulatory Officer, Montreal Exchange</i> <i>Elizabeth Page, Vice President and District Director, FINRA</i></p>	<p>Anatomy of an Advisor Profile: Social Media from Legal, Compliance and Marketing Perspectives <i>Shawna Dennis, Director, Marketing & Communications, Manulife Financial</i> <i>Paula Amy Hewitt, Legal Counsel & Privacy Officer, Dundee Capital Markets</i> <i>Sean Shore, Securities, Compliance and Regulatory Counsel, Canadian Compliance & Regulatory Law</i></p>
2:05 pm – 3:05 pm	3:05 pm – 3:20 pm	
3:05 pm – 3:20 pm	Break, Häagen-Dazs and Refreshments	
3:20 pm – 4:20 pm	<p>CLOSING KEYNOTE ADDRESS</p> <p>Andrew McCreath <i>Commentator, BNN and President & CEO, Forge First Asset Management</i></p>	
4:20 pm – 4:35 pm	<p>CLOSING REMARKS & PRIZE DRAWINGS</p> <p>Joy Allen <i>2014 Chair, CLS Education Sub-Committee</i></p>	

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