

IIROC – CLS COMPLIANCE CONFERENCE 2015

To register for this exciting conference, please visit <http://www.clseducation.ca/upcoming-events.html>

7:30 am – 8:00 am	Registration and Continental Breakfast	
8:10 am – 8:15 am Room: 106	WELCOME AND INTRODUCTION <i>Michelle Sarmiento, Co-Chair, CLS Education Sub-Committee</i> <i>Jane Ratchford, Chair, CLS Executive</i>	
8:15 am – 8:35 am Room: 106	IIROC PRIORITIES <i>Andrew Kriegler, President and CEO, IIROC</i>	
8:35 am – 9:30 am Room: 106	KEYNOTE SPEAKER <i>Robert Armstrong, Commercial Litigation Practice Group, Gowlings</i>	
9:35 am – 10:35 am	Debt Transaction Reporting Room: 106 <i>Marc Poles, Fixed Income Specialist, Market Surveillance, IIROC</i> <i>Joey Mack, Director, Retail Trading, GMP Securities</i> <i>Laflèche Montreuil, Compliance Manager, Trading Desk, Desjardins Securities</i> <i>Michael Poisson, Head, Global Markets Trade Supervision, Canada, RBC Capital Markets</i> <i>Christopher McDonald, Regulatory & Compliance Product Manager, Bloomberg Trade Order Management Solutions (TOMS)</i>	Conflicts of Interest Room: 105 <i>Kelley Hoffer, Vice President & Chief Compliance Officer, TD Securities</i> <i>Leo Purcell, Comarm Solutions Inc.</i> <i>Jeremy Devereux, Partner, Norton Rose Fulbright Canada LLP</i>
	Break and Refreshments	
10:50 am – 11:50 am	High Frequency Trading Room 106 Moderated by <i>John A. Fabello, Partner, Torys LLP</i> <i>Kevin McCoy, Acting Vice President- Market Regulation Policy, IIROC</i> <i>Kuno Tucker, Chief Compliance Officer, ITG</i> <i>Russell Sacks, Partner, Shearman & Sterling LLP</i>	Monitoring Internal Communications Room 105 <i>Ian Campbell, Chief Information Officer, IIROC</i> <i>Donald McElligott, VP, Compliance Supervision, Global Relay</i> <i>Jeremy Devereux, Partner, Norton Rose Fulbright Canada LLP</i>
	Lunch Break - Room 107	
1:00 pm – 2:00 pm Room: 106	Yes, but... <i>Dan Bowering, Chief Compliance Officer, Richardson GMP</i> <i>Joe Ladeira, Chief Compliance Officer, Heritage Education Funds</i> <i>Brian Driscoll, Chief Compliance Officer, Aligned Capital Partners Inc.</i>	
2:05 pm – 3:05 pm	Privacy Breaches Room: 106 <i>Karen Burke, Chief Privacy Officer, BMO Financial Group</i> <i>Wayne Bolton, Chief Compliance Officer, Edward Jones</i> <i>Larry Boyce, Sutton Boyce Gilkes</i>	Co-Operative Capital Markets Regulator Room: 105 <i>Michelle Alexander, Vice President, IIAC</i> <i>Tal Cyngiser, Associate, Gowlings</i> <i>Larry Ritchie, Partner, Osler</i>
	Break and Refreshments- Häagen-Dazs sponsored by Grant Thornton	
3:20 pm – 4:20 pm Room: 106	Ask the Regulator Moderated by <i>David Hausman, Partner, Fasken Martineau</i> <i>Tom Atkinson, Director of Enforcement, OSC</i> <i>Stephen Poirier, Managing Regulatory Coordinator, FINRA</i> <i>Shaun Devlin, Senior Vice-President, MFDA</i> <i>Elsa Renzella, Vice President, Enforcement, IIROC</i>	
4:20 pm – 4:30 pm Room: 106	CLOSING REMARKS & PRIZE DRAWINGS <i>Joy Allen, Co-Chair, CLS Education Sub-Committee</i>	

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<p align="center">Debt Transaction Reporting</p> <p>The panel will discuss the new IROC Rule 2800C “Transaction Reporting for Debt Securities” and the challenges faced by IROC member firms in implementing it.</p>	<i>Or</i>	<p align="center">Conflicts of Interest</p> <p>An overview of the challenges faced firms in order to mitigate conflicts of interest, which potentially affect any and all interactions and activities</p>
<p align="center">High Frequency Trading</p> <p>This panel discussion will define HFT, its history and evolution, why exchanges placed speedbumps, who does it hinder/benefit and How are financial firms/compliance addressing these issues</p>	<i>Or</i>	<p align="center">Monitoring Internal Communications</p> <p>This panel discussion will place emphasis on what is expected of member firms with regards to monitoring, and best practices for setting up and administering a monitoring program.</p>
<p align="center">Privacy Breaches</p> <p>Personal information comes in all shapes and formats; it can be the 3-page document your client completed at your branch or electronically via an online application. How does your firm protect this information on a day to day basis and what do you do in the event of an alleged breach? What is your action plan and how do you manage the impact to your clients, your brand and your responses to the regulators? Meet three panelists who will share the good, the bad and ugly about their privacy and information security programs and what you can learn from their experiences.</p>	<i>Or</i>	<p align="center">Co-Operative Capital Markets Regulator</p> <p>Cooperative Capital Markets Regulatory System – Who, What and When</p>

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