

# December 6, 2016 IIROC – CLS COMPLIANCE CONFERENCE

PLEASE NOTE THE NEW VENUE - The Delta Toronto Hotel, 75 Lower Simcoe Street, Toronto

7:30 am – 8:00 am	<b>Registration and Continental Breakfast</b>	
8:00 am – 8:10 am	<b>WELCOME AND INTRODUCTION</b> <i>Kelley Hoffer, Chair, CLS Executive</i>	
8:10 am – 8:30 am	<b>IIROC PRIORITIES</b> <i>Andrew Kriegler, President &amp; CEO, IIROC</i>	
8:30 am – 9:20 am	<b>KEYNOTE SPEAKER</b> <i>D. Grant Vingoe, Vice-Chair, Ontario Securities Commission</i>	
9:20 am – 9:30 pm	<b>Coffee / Tea Opportunity</b>	
9:30 am – 10:30 am	<b>New Opportunities and Challenges in Supervision</b> <i>Margo Buchanan, Director, National Field Compliance/Advisory Services, Manulife Securities</i> <i>David Di Paolo, Partner, Borden Ladner Gervais LLP</i> <i>Steve Elliott, Director, National Business Supervision, HollisWealth</i>	<b>Cross Border Challenges</b> <i>Rob Lando, Partner, Osler Hoskin &amp; Harcourt LLP</i> <i>Victoria Pinnington, Senior Vice-President, Market Regulation, IIROC</i> <i>D. Grant Vingoe, Vice-Chair, OSC</i>
	<b>Break and Refreshments</b>	
10:45 am – 11:45 am	<b>AML FAQs...your questions answered</b> <i>Charles Gonzales, Regional Compliance Officer – Central Region Regional Operations and Compliance, FINTRAC</i>	<b>Best Execution and Order Protection</b> <i>Sonali GuptaBhaya, Director, Market Regulation Policy, IIROC</i> <i>David Moore, Director, Trade Supervision, BMO Capital Markets</i> <i>Brian Smallhorn, Executive Director &amp; CCO, Morgan Stanley Canada</i> <i>Lise St-Onge, Manager, Trading Conduct Compliance, IIROC</i>
	<b>Lunch Break</b>	
12:45 pm – 1:45 pm	<b>Ask the Regulator</b> <i>Moderated by John Fabello, Partner, Torys LLP</i> <i>Cynthia Campbell, Director of Enforcement, ASC</i> <i>Jeff Kehoe, Director of Enforcement, OSC</i> <i>Frédéric Pérodeau, Senior Director of Investigations, AMF</i> <i>Elsa Renzella, Vice President, Enforcement, IIROC</i>	
	<b>Statutory Best Interest Standard</b> <i>Michelle Alexander, Vice President &amp; Corporate Secretary, IIAC</i> <i>Linda Fuerst, Senior Partner, Norton Rose Fulbright Canada</i> <i>Sean McGratten, Assistant General Counsel, Royal Bank of Canada</i>	<b>Blockchain and FinTech - a Canadian perspective</b> <i>Annick Demers, Counsel, Blake, Cassels &amp; Graydon LLP</i> <i>Prakash Hariharan, Chairman, Analytixinsight</i> <i>Usman Sheikh, Partner, Gowlings WLG</i>
2:45 pm – 3:05 pm	<b>Break and Refreshments- Häagen-Dazs</b>	
3:05 pm – 4:05 pm	<b>Crisis Management</b> <i>Ellen Bessner, Partner, Babin Bessner Spry</i> <i>Ahmad A. Dhanani, Senior Manager Operational Risk, Enterprise Risk Management, ATB Financial</i> <i>Kelley Hoffer, CCO &amp; Head of RBC Capital Markets Compliance (Canada), RBC Capital Markets</i>	
	<b>CLOSING REMARKS &amp; PRIZE DRAWINGS</b> <i>Shailesh Ambike &amp; Joy Allen, Co-Chairs, CLS Education Sub-Committee</i>	
4:05 pm – 4:30 pm		

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**Your 2016 Annual Conference Breakout session choices include:**

<p><b>New Opportunities and Challenges in Supervision</b></p> <p><i>The panel will provide a review of various supervisory models in place involving corporate and producing Branch Managers for both MFDA and IIROC dealers. Additionally, the regulatory considerations of setting up this type of structure will be discussed.</i></p> <p><i>Audience questions are encouraged.</i></p>	<p>Or</p>	<p><b>Cross Border Challenges</b></p> <p><i>A discussion of cross border securities issues with a focus on distributions across borders, operational challenges and post-trade monitoring challenges of cross border flow, and regulatory expectations.</i></p>
<p><b>AML FAQs...your questions answered</b></p> <p><i>Sanjeev Dewett &amp; Charles Gonzales discuss FINTRAC's current mandate and provide additional insight on the finalized PCMLTFA. Additionally, you asked and here they are to answer some of your pressing AML questions. From expectations on cross-market trading obligations to the Panama Papers and everything in between.</i></p> <p><i>Audience questions are encouraged. Examples of questions posed:</i></p> <ul style="list-style-type: none"> <li>• <i>What are you seeing that other firms are doing in terms of monitoring?</i></li> <li>• <i>Are there any new typologies for the securities industry and what are they?</i></li> <li>• <i>What are the new forms of money laundering / terrorist financing that the DoF / FINTRAC are seeing? What should we look out for?</i></li> <li>• <i>There was a lot of discussion around the Panama papers. What is the expectation of the securities industry?</i></li> <li>• <i>When cross-market trading occurs, whose obligation is it to report? Locally in Canada? In the opposite jurisdiction outside Canada? Both?</i></li> </ul>	<p>Or</p>	<p><b>Best Execution and Order Protection</b></p> <p><i>The Best Execution discussion will cover the consolidation of the best execution requirements to a single dealer member rule, the expansion of the rule to non-participating organizations, the movement from ATS' from protected to unprotected markets, expectations from Trading Conduct Compliance and the impact to all IIROC Dealer Members.</i></p>
<p><b>Statutory Best Interest Standard</b></p> <p><i>The CSA Consultation Paper Breakout session will provide an overview of the two main proposals: Regulatory Best Interest Standard and the 10 Targeted Reforms. In addition, the overarching issues and concerns will be discussed. The expert panel will offer an Industry, Legal and Firm perspective.</i></p>	<p>Or</p>	<p><b>Blockchain and FinTech - a Canadian perspective</b></p> <p><i>The digital revolution has reconfigured how firms in financial services do business, which has included the rise of the fintech industry and blockchain.</i></p> <p><i>We are privileged to have assembled a distinguished panel to discuss the industry and technology as well as discuss legal and considerations.</i></p>

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