

November 30th, 2023 - Conduct, Compliance and Legal Advisory Section (CCLS), Education Sub-Committee Annual Conference

Intercontinental Hotel, 225 Front St W, Toronto, ON, M5V2X3

7:30 am – 8:00 am	Registration and Continental Breakfast	
8:00 am – 8:15 am	WELCOME AND INTRODUCTION <i>Jehred Ross, Chair, CCLS Executive</i>	
8:15 am – 8:30 am	REMARKS FROM CIRO'S PRESIDENT AND CEO <i>Andrew J. Kriegler, President & CEO, CIRO</i>	
8:30 am – 9:30 am	NEW CIRO UPDATE <i>Alexandra Williams, SVP, Member Regulation and Corporate Strategy, CIRO</i> <i>Elsa Renzella, SVP, Enforcement & Registration, CIRO</i> <i>Karen McGuinness, SVP, Office of the Investor, Member Intake & Innovation, CIRO</i>	
9:30 am – 9:40 pm	Coffee / Tea Networking Opportunity	
9:40 am – 10:40 am	T+1: COMPLIANCE BEST PRACTICES <i>Keith Evans, Executive Director, Canadian Capital Markets Association (CCMA)</i> <i>Jason O'Born, Director, Global Head Securities Clearance, RBC Capital Markets</i> <i>Steve Everett, Head Business Strategy, and Innovation Post Trade, TMX (Canada)</i>	CLIENT FOCUSED REFORMS, THE SAGA CONTINUES..... WHEN CLIENTS GO OFF SCRIPT <i>Nick Cardinale, CCO RBC WM Canada and RBC DS Canada Inc.</i> <i>Laura Paglia, President & Chief Executive Officer, IIAC</i> <i>Charles Toth, VP, Enforcement MFD, CIRO</i> Moderator: Gillian Dingle, Partner, Torys LLP
10:40 am – 10:55 am	Break and Refreshments	
10:55 am – 11:55 am	BOURSE DE MONTREAL, A DERIVATIVES MARKET: TRADING, CLEARING AND THE REGULATORY FUNCTIONS <i>Karen McMeekin, President, Regulatory division at Montreal Exchange</i> <i>Alexandre Prince, Executive Director, Interest Rates Derivatives, Derivatives Products, Montreal Exchange</i> <i>Elie Elkhal, Director, Business Development, CDCC</i> <i>Shailesh Ambike, Director, Markets Advisory, Scotia Capital Inc.</i>	BACK TO BASICS <i>Christina Soares, CCO & Head of Business Integrity, Aligned Capital Partners Inc.</i> <i>Brian Pynn, CCO, ATB Canada</i> <i>Cas Litwin, CCO, Investment Planning Counsel</i> <i>Sean Shore, Securities, Compliance and Regulatory Counsel</i>
11:55 am – 1:00 pm	Lunch Break	
1:00 pm – 2.00 pm	KEYNOTE SPEAKER <i>Chris Lynam, Director General, National Cybercrime Coordination Centre (NC3) and Canadian Anti-Fraud Centre (CAFC)/ Royal Canadian Mounted Police</i>	
2:00 pm – 3:00 pm	THE CHALLENGES OF RECRUITING, TRAINING AND MONITORING COMPLIANCE STAFF IN THE WORK FROM ANYWHERE ENVIRONMENT <i>Leo Purcell, President & CEO, Comarm Solutions</i> <i>Wayne Bolton, Principal, Edward Jones</i> <i>Jeff Freeborough, Partner, Caldwell Partners</i> Moderator: Neal Weston, Independent.	CLIENT FOCUSED REFORMS THE DOLLARS AND SENSE OF KYP CONFLICTS <i>Melissa MacKewn, Partner, Crawley MacKewn Brush</i> <i>David Wright, Senior Counsel, Business Conduct Compliance, CIRO</i> Moderator: John Fabello, Partner, Torys LLP
3:00 pm – 3:20 pm	Break and Refreshments- Häagen-Dazs	
3:20 pm – 4:20 pm	MONEY LAUNDERING AND FINANCIAL CRIME, THROUGH SECURITIES AROUND THE WORLD <i>Amber D. Scott, Founder & CEO, Outlier Compliance Group</i> <i>Marissa Daniels, Senior Associate, Torys LLP</i> <i>Garry W. G. Clement, President and CEO Clement Advisor Group and CAMLO VersaBank</i>	
4:20 pm – 4:40 pm	CLOSING REMARKS & PRIZE DRAWINGS <i>Joy Allen, Chair, CCLS Education Sub-Committee</i>	

Your 2023 Annual Conference Breakout session choices include:

<p>T+1: Compliance Best Practices</p> <p>Our panel will discuss T+1 issues from a:</p> <ul style="list-style-type: none"> • CDS and dealer perspective • Sec Lending, Collateral Management and • F/X, Trade Date concerns 		<p>Client Focused Reforms, the Saga Continues..... When Clients Go Off Script</p> <p>Come join our lively discussion with our esteemed panelists, as we discuss how to handle client situations that just don't fit the mold while still meeting the spirit of the regulatory requirements.</p>
<p>Bourse de Montreal, a derivatives market: trading, clearing and the regulatory functions</p> <p>The panelists will:</p> <ul style="list-style-type: none"> • provide an overview of the Bourse's ecosystem, • explain the governance structure within which the Division operates and its functions, • provide an overview of post-trade activities through CDCC, • discuss the interactions between the commercial activities of the Bourse, the CDCC and the regulatory activities of the Division, and • discuss examples of commercial and regulatory considerations on some initiatives undertaken by the Bourse, CDCC and the Division. 		<p>Back to Basics</p> <p>It all comes down to showing your work! Easier said than done but hands down the primary issue that gets advisors and their dealers in trouble. Advisors need to demonstrate among other things "meaningful interactions" with their customers and of course be able to demonstrate their work as all registrants navigate the effect of client focused reforms.</p> <p>This panel will focus on the bread and butter of daily supervision with the goal of having practical discussion and use cases that firms can take back to their own organizations.</p> <ul style="list-style-type: none"> - formulating the risk conversation with clients. - advisor incorporation. - marketing and advertising including misleading communications, vanity and pay-to-play awards and safe and effective social media use in the age of emerging platforms like TikTok and Instagram.
<p>The Challenges of recruiting, training, and monitoring compliance staff in the work from anywhere environment</p> <p>Join our panel in a lively discussion surrounding, hiring in a Work From Home (WFH) environment, the challenges of supervising in a WFH world and ensuing you have the right people in place to meet your requirements.</p>		<p>Client Focused Reforms: The Dollars and Sense of KYP Conflicts</p> <p>Hear us discuss how firms and registrants can navigate the conflicts of interest associated with investment products, grow their business, and meet clients' needs, all while meeting the spirit of the regulatory requirements.</p>

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