

November 27th, 2018 - Conduct, Compliance and Legal Advisory Section (CCLS) Conference

The Delta Toronto Hotel, 75 Lower Simcoe St, Toronto, ON

7:30 am – 8:00 am	Registration and Continental Breakfast	
8:00 am – 8:15 am	WELCOME AND INTRODUCTION <i>Alexandra Williams, Chair, CCLS Executive</i>	
8:15 am – 8:30 am	IIROC PRIORITIES <i>Wendy Rudd, Senior Vice President, IIROC</i>	
8:30 am – 9:30 am	KEYNOTE SPEAKER <i>Dave Nugent, Chief Client Officer, Wealthsimple for Advisors</i>	
9:30 am – 9:40 am	Networking - Coffee / Tea Opportunity	
9:40 am – 10:40 am	CSA Targeted Reforms <i>Moderated by: John Fabello, Partner, Torys</i> <i>Michelle Alexander, Vice-President & Corporate Secretary, IIAC</i> <i>Paula Amy Hewitt, SVP, General Counsel, CCO, CPO, Raymond James</i> <i>Sean McGratten, Senior Director, RBC Wealth Management</i>	Market Structure 101 <i>Rizwan Awan, Managing Director, BMO Capital Markets</i> <i>Dan Kessous, Chief Executive Officer, NASDAQ Canada</i> <i>Kevin McCoy, Vice President, IIROC</i> <i>Jonathan Sylvestre, Head Business Strategy, TMX Markets</i>
	Break and Refreshments	
10:55 am – 11:55 am	Multijurisdictional Brokers <i>Dan Bowering, CCO, Gravitas Securities</i> <i>Julie Mansi, Partner, BLG</i> <i>Darin R. Renton, Partner, Stikeman Elliott LLP</i>	Blockchain & the Capital Markets <i>Mark Hines, Senior Counsel, RBC Law Group</i> <i>John Lee, Managing Director, TMX Group</i> <i>Wendy Rudd, Senior Vice President, IIROC</i> <i>Usman M. Sheikh, Partner, Gowling WLG (Canada) LLP</i>
	Lunch Break	
1:00 pm – 2:00 pm	Compliance Officer of Tomorrow <i>Moderated by: Shailesh Ambike, Director, Global Capital Markets, Scotiabank</i>	
	<i>Nick Cardinale, CCO, RBC Wealth Management Canada</i> <i>Naresh Tejpal, Senior Director, CIBC</i>	<i>Joe Ladeira, CCO, Clarus Securities</i> <i>Alexandra Williams, SVP, CCO, and CRO, Credential Qtrade Securities</i>
2:00 pm – 3:00 pm	Dealing with Vulnerable Clients <i>Mike Arthur, AVP, TD Bank Financial Group</i> <i>Carl Dubicki, Senior Compliance Manager, Edward Jones</i> <i>Leo Purcell, CEO, Comarm Solutions</i>	Sheriffs on The New Frontier – Cannabis, Gambling and Crypto <i>Jeremy Devereux, Partner, Norton Rose</i> <i>Cheryl Reicin, Partner, Torys</i> <i>Amy Tsai, Director, RBC Wealth Management Canada Compliance</i>
	Break and Refreshments- Häagen-Dazs	
3:20 pm – 4:20 pm	Ask the Regulator	
	<i>Marsha Gerhart, VP, Member Regulation Policy, IIROC</i> <i>Sonali GuptaBhaya, Director, Market Regulation Policy, IIROC</i>	<i>Marina Ripoche, VP, Registration, IIROC</i> <i>Noel Sequeira, Business Conduct Compliance, IIROC</i> <i>Elissa Sinha, Senior Enforcement Counsel, IIROC</i>
4:20 pm – 4:45 pm	CLOSING REMARKS & PRIZE DRAWINGS <i>Joy Allen & Shailesh Ambike, Co-Chairs, CCLS Education Sub-Committee</i>	



Your 2018 Annual Conference Breakout session choices include:

<p>CSA Targeted Reforms</p> <p><i>The expert panel will discuss the anticipated implications and potential challenges for firms, advisors and the clients they service.</i></p>	<p>Or</p>	<p>Market Structure 101</p> <p><i>A discussion on general market structure, what drives orders to markets, what incents orders to markets, and differentiators of the various marketplaces.</i></p>
<p>Multijurisdictional Brokers</p> <p><i>Stay compliant when operating a foreign affiliate office. This panel will walk through the building blocks, and discuss potential stumbling blocks, for investment firms looking to take their business – or already doing business – outside of Canada.</i></p>	<p>Or</p>	<p>Blockchain & the Capital Markets: Recent Regulatory & Litigation Developments</p> <p><i>The session will cover:</i></p> <ol style="list-style-type: none"> <i>1. Blockchain regulatory developments in the capital markets space from the CSA, OSC and IIROC and other US capital markets regulators, including regulatory guidance and exemptive relief applications;</i> <i>2. Recent applications in the capital markets space; and</i> <i>3. Blockchain enforcement and civil litigation developments in the capital markets space.</i>
<p>Dealing with Vulnerable Clients</p> <p><i>A discussion of best practices in Supervision, especially as related to vulnerable clients. The discussion will include a comparison of practices and expectations from the perspectives of a bank-owned brokerage, an independent investment dealer, and a consulting firm.</i></p>	<p>Or</p>	<p>Sheriffs on the New Frontier - Cannabis, Gambling and Crypto</p> <p><i>Cannabis stocks, gaming stocks, cryptocurrencies. These asset classes are dynamic and receive significant public interest. Find out how to balance the risks and the opportunities, and keep your firm wearing the white hat.</i></p>

