

IIROC – CLS Compliance Conference Dec 6th, 2016

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Michelle Alexander

Vice President & Corporate Secretary, Investment Industry Association of Canada

- Speaker, Statutory Best Interest Standard

Michelle Alexander is Vice President and Corporate Secretary with the Investment Industry Association of Canada (IIAC). Her areas of expertise include securities law, regulatory issues, analysis and impact of cross-border issues, monitoring and analysis of industry developments, and representation of investment industry positions to securities commissions, self-regulatory organizations and government. An experienced public speaker and media spokesperson, Michelle actively advocates on behalf of the industry on matters relating to existing and new regulatory and legislative initiatives, with focus on retail sales issues and compliance. Prior to the IIAC becoming a separate entity from the Investment Dealers Association of Canada (IDA) in 2006, Michelle was the Director of Regulatory Policy with the IDA. She also practiced law at Blake, Cassels & Graydon LLP as an Associate, Corporate Finance & Securities Regulation. Michelle was called to the Ontario Bar in 1997 after having completed her Bachelor of Laws at Osgoode Hall Law School. She has also successfully completed the Canadian Securities Course and the Partners, Directors and Senior Officers Course.

Ellen Bessner

Partner, Babin Bessner Spry

- Moderator, Crisis Management

Ellen Bessner is an experienced, tough minded and common sense commercial litigator with over 25 years of practice at prominent Canadian firms Gowlings and Cassels Brock, and now with Babin Bessner Spry LLP. Ellen has acted as counsel before Ontario courts of all levels, as well as at many arbitrations and regulatory proceedings, including before the IIROC, MFDA, OSC and FSCO. Ellen is a leader in commercial and securities litigation, employment litigation, professional negligence, class actions, regulatory matters, insurance defence, directors' and officers' liability and has regularly been retained to advise boards of directors and senior officers on issues of compliance.

Ellen is the author of the bestselling book "Advisor at Risk, a Roadmap to Protecting Your Business". Her book is a leading risk management tool for professionals in the financial services industry. She is an expert speaker in the area of risk and writes on the subject in the national, business and industry press.

At Babin Bessner Spry LLP, Ellen provides her popular and effective work in developing and presenting training and education programs for officers and directors, supervisors and regulated professionals (accountants, financial and investment advisors, portfolio managers, lawyers,

planners). The goal of these programs is to help reduce litigation and regulatory risk, and includes education and training on a range of liability, ethics and compliance issues.

Ellen has been appointed to the OSC's Seniors Expert Advisory Committee, is a panel member for enforcement proceedings for Certified Professional Accountants of Ontario (CPA) and is a member of the Board of Directors of Knowledge First Financial Inc.

Margo Buchanan

Director, National Field Compliance/Advisory Services, Manulife Securities

- Speaker, New Opportunities and Challenges in Supervision

As Director of National Compliance for Advisory Services, Margo manages a team of Regional Compliance Officers and Branch Managers who provide regulatory compliance support to the 1,250 independent investment advisors with Manulife Securities. A graduate of Acadia University (B.B.A.) and Saint Mary's University (M.B.A), Margo joined Manulife in November of 2011. Prior to joining Manulife, Margo was the Vice President Operations and Compliance for one of the largest independent investment dealers in Atlantic Canada.



Cynthia Campbell

Director of Enforcement, Alberta Securities Commission

- Speaker, Ask the Regulator

Cynthia J. Campbell is the Director of Enforcement with the Alberta Securities Commission, where she leads a team responsible for discovering, investigating, and prosecuting breaches of Alberta securities laws. Through vigorous enforcement action and collaboration with the ASC's compliance departments, other securities regulators and Canadian and foreign police forces, the Enforcement Division seeks to foster investor confidence and promote the integrity of Alberta's capital market, thereby protecting the investing public.

Prior to joining the ASC, Cynthia served as Associate General Counsel, Litigation and Administrative Law at Alberta Health Services where she provided oversight and strategic counsel on litigation and administrative law matters in connection with civil lawsuits, hearings, fatality inquiries, judicial review, collections and quasi-criminal prosecutions.

Between 1999 and 2011, Cynthia worked for the Calgary Police Service, initially providing legal advice on police training, criminal procedure and Charter issues. She then served as employment and labour counsel, with particular emphasis on police selection standards, security screening

and breaches, terminations and pre-employment polygraph examinations. In 2010, Cynthia became the first civilian manager of the Human Resources Operations Section at CPS.

After receiving her undergraduate and law degrees from the University of Ottawa, Cynthia clerked for the Honourable Mr. Justice J.C. Major at the Supreme Court of Canada in 1996-97.

Annick Demers

Counsel, Blake, Cassels & Graydon LLP

- Speaker, Blockchain and FinTech - a Canadian perspective

Annick Demers practice is focused on legal and regulatory compliance of the retail financial services industry in Quebec. She provides advice to banks, nonbank financial institutions, nonbank lenders, retailers, third party service providers and FinTechs on matters such as consumer protection, consumer leasing and lending, payment products, money transmission, debt collection, insurance, reinsurance, real estate and mortgage brokerage, licensing, advertising, e-commerce, product development and language requirements (including French language requirements and clear language).

Annick monitors and advises on the impact of legislative and regulatory developments affecting participants of the retail financial services industry in Quebec. She assists clients in the context of various projects such as the compliance, distribution and advertising of retail financial products (ex: consumer loans and leases, credit insurance, payment cards extended warranties and money transfers) and the review of customer-facing agreements and related documentation used in Quebec. Additionally, Annick is involved in providing compliance advice and in assessing compliance risk in the context of mergers and acquisitions and reorganizations (particularly involving financial services entities).



Sanjeev Dewett

Regional Director, Central Region and Major Reporters Team, FINTRAC

- Speaker, AML FAQs...your questions answered

Sanjeev Dewett is the Regional Director for FINTRAC's Central Region and Major Reporters Team based in Toronto. Sanjeev has over 14 years of experience working in the federal government in multiple departments and in various roles. Prior to joining FINTRAC in June 2016, Sanjeev held the position of Director of Corporate Services with Indigenous and Northern Affairs Canada (INAC). He was also part of the start-up team tasked with launching the Federal Economic Development Agency for Southern Ontario where from 2009 to 2014 he held various management and executive roles, including: Manager of Economic Development, Manager of Program Support, Director of Intergovernmental and Stakeholder Relations and Chief of Staff to

the President. From 2007 to 2009, he was the Regional Manager of Economic Development with INAC and prior to that he held officer roles at Industry Canada and Transport Canada. Sanjeev's career-to-date has included a range of subject matters including: program development and delivery, corporate services, quality assurance, real property management, intergovernmental affairs, and regulatory and compliance activities.

Ahmad A. Dhanani

Senior Manager Operational Risk, Enterprise Risk Management, ATB Financial

- Speaker, Crisis Management

Ahmad Dhanani is the Senior Manager for Operational Risk at ATB Financial. His role entails 2nd line of defense oversight activities relating to identification, measurement, management, monitoring and reporting of operational risk across a portfolio of business units including Retail Financial Services, Treasury, Finance and Market Risk. His responsibilities also include oversight of the Business Continuity program of these functions, and he was closely involved in the direction and coordination of ATB's crisis response to the recent Fort McMurray fire.

Ahmad has over 10 years of experience in Assurance and Risk Management with roles in the United Kingdom, Asia and Canada. Ahmad began his career at KPMG auditing Investment Management Companies, Hedge Funds and PE Groups, and has since held managerial positions at Commercial Banking institutions and regulatory bodies.

Ahmad has an undergraduate degree in Business Administration from University of Kent, UK and an Associate Chartered Accountant (ACA) qualification from the Institute of Chartered Accountants of England and Wales. He is also a CPA, CA with CPA Ontario.



David Di Paolo

Partner, Borden Ladner Gervais LLP

- Speaker, New Opportunities and Challenges in Supervision

David Di Paolo is a partner, the manager of the Toronto Commercial Litigation Group and regional chair of the Securities Litigation Group at Borden Ladner Gervais LLP. David represents registrants and public companies and their respective officers, directors and shareholders in all manner of proceedings and prosecutions. He has appeared before all levels of Court including the Supreme Court of Canada as well as provincial securities commissions, self-regulatory organizations such as the Investment Industry Regulatory Organization of Canada (IIROC) and the Mutual Fund Dealers Association of Canada (MFDA).

David's areas of focus include:

- Securities litigation and regulation, including broker liability and departing broker litigation, proceedings before the Ontario Securities Commission, self-regulatory organization disciplinary proceedings and charges under the Securities Act.
- Securities class actions and shareholders' rights litigation, including oppression proceedings and derivative actions.
- Directors' and officers' liability, including shareholders' actions, creditors' actions, and offences under the Securities Act and other regulatory statutes.
- Takeover bid litigation.
- Election law litigation.
- General commercial litigation, including contract disputes, lender liability and debtor/creditor rights.

Steve Elliott

Director, National Business Supervision, HollisWealth

- Speaker, New Opportunities and Challenges in Supervision

Steven Elliott joined Scotiabank's Wealth Management Compliance Department as Director of ScotiaMcLeod Retail Compliance in 2009, and since then has transferred into business management as Director, National Business Supervision & Regulatory Initiatives in order to expand HollisWealth's Tier 1 Corporate Branch Management platform. Steve is a dedicated leader and possesses a wealth of progressive compliance and business experience. He has demonstrated leadership and operational skills in multiple large scale projects at the corporate and division levels.

Steve previously served as Chief Compliance Officer in several bank-owned and independent dealer firms as well as insurance agencies. Starting in 1987, Steve has been involved in various aspects of the financial services industry including sales management, marketing services, customer service, training and compliance. In addition to management roles within IIROC/MFDA dealer member firms and insurance agencies, Steve has also worked for an insurance company Head Office in a management capacity.



John Fabello

Partner, Torys LLP

- Speaker, Ask the Regulator

John Fabello is a senior member of the Torys securities litigation and class action practices, and is a primary contact for the firm's securities defence practice. John



focuses on all aspects of securities litigation and regulatory matters, as well as general corporate and commercial litigation. John represents clients across Canada before securities and other financial regulators, and the courts. John's practice includes conducting internal investigations and advising financial services firms regarding the quality and sufficiency of their regulatory compliance programs. John has acted as an instructor for in-house broker and investment banker continuing education programs and was seconded for over a year to one of Canada's largest broker-dealers to manage major class action litigation and related securities regulatory matters. John is a frequent speaker and lecturer on securities litigation, and has been recognized as a leading lawyer in Canada in the areas of professional liability and securities litigation by Best Lawyers, Lexpert and LawDay.

Linda Fuerst

Senior Partner, Norton Rose Fulbright Canada

- Speaker, Statutory Best Interest Standard

Linda Fuerst's litigation practice covers a broad range of commercial and professional liability matters, with a particular focus on securities litigation, class proceedings and regulatory issues. She has litigated civil, criminal and regulatory matters and has appeared before all levels of court in Ontario, the Supreme Court of Nova Scotia and the Nova Scotia Court of Appeal and in connection with investigations and proceedings by the Ontario, Alberta and Nova Scotia securities commissions, IIROC, the MFDA and the Competition Bureau. Ms. Fuerst has also directed internal investigations into matters including possible insider trading and backdating of stock options.

Ms. Fuerst began her legal career clerking for the Chief Justice of the High Court of Ontario. She practised criminal law and served as a part-time assistant crown attorney before joining the Enforcement Branch of the Ontario Securities Commission as senior investigation counsel. Following a rotation at the US Securities and Exchange Commission in Washington, DC, she joined a well-known litigation practice in Toronto where she practised from 1994 to 2015.

Charles Gonzales

Regional Compliance Officer, Central Region Regional Operations and Compliance, FINTRAC

- Speaker, AML FAQs ... your questions answered

Charles Victor Gonzales is currently a Regional Compliance Manager in FINTRAC's Toronto Office. He has worked in both Vancouver and Ottawa, and has been responsible for planning and conducting compliance activities amongst various reporting entity sectors across Canada. During

his time with FINTRAC's International Relationships section, Charles developed intelligence sharing agreements between Canada and foreign financial intelligence units, he continues to maintain and enhanced domestic compliance relationships between FINTRAC and regulatory organizations within Canada. Prior to joining FINTRAC, Charles was with the Canada Border Service Agency's national enforcement programs and played an important role in the implementation of Canada's Cross Border Currency Reporting regime.

Sonali GuptaBhaya

Director, Market Regulation Policy, IIROC

- Speaker, AML FAQs...your questions answered

Sonali joined IIROC's Market Regulation Policy group in September, 2014. During this time she has worked on projects such as Best Execution and Marketplace Thresholds. Prior to IIROC, Sonali was a legal counsel in the Market Regulation Branch at the OSC for almost nine years where she conducted marketplace oversight and developed market structure policy. Sonali began her career at a major law firm in Toronto. She holds an LL.B. from Osgoode Hall Law School as well as an MBA from the Schulich School of Business.

Prakash Hariharan

Chairman, Analytixinsight

- Speaker, Blockchain and FinTech - a Canadian perspective

Formerly one of Canada's leading portfolio managers when he was at Front Street Capital focusing on technology and growth related investments. Prakash also spent time at Dominion Bond Rating Services, analyzing and rating structured investment products. He holds a Financial Engineering degree from York University, an MBA from the Schulich School of Business, and an undergraduate degree in Chemical Engineering.



Kelley Hoffer

Chair, CLS Executive

Chief Compliance Officer & Head of RBC Capital Markets Compliance (Canada), RBC Capital Markets

- Speaker, Welcome & Intro
- Speaker, Crisis Management



Kelley Hoffer is the Chief Compliance Officer for RBC Capital Markets in Canada. Kelley's experience in the securities industry extends over 20 years. She began her career at Richardson Greenshields and has held senior leadership positions with RBC, Manulife Securities and TD Securities. She currently leads a team of approximately 20 Compliance professionals supporting the wholesale businesses at RBC Capital Markets which include corporate and investment banking, sales, trading and research. In her previous experience she has covered retail, institutions and product manufacturing businesses.

Kelley has an honors degree in Law & Justice from Laurentian University and an LLM in Securities Law from Osgoode Hall Law School. She has been an active participant in industry committees including IIROC's Market Rules Advisory Committee and is currently on the Seneca College Advisory Committee for their Financial Services Compliance and Legal Section Executive Committee and is a Certificate Instructor for Osgoode's Regulatory Compliance Program. Kelley has been an active member of various committees supporting Women in Capital Markets and is currently a member of RBC's Group Risk Management Diversity and Inclusion Committee..

Jeff Kehoe

Director of Enforcement, Ontario Securities Commission

- Speaker, Ask the Regulator

Jeff Kehoe is currently the Director of Enforcement at the Ontario Securities Commission. Prior to joining the OSC, he was Managing Partner and General Counsel at Difference Capital Inc. He has over a decade of experience overseeing the Canadian Capital Markets as Director and Vice-President of Enforcement at the Investment Industry Regulatory Organization of Canada (IIROC). Prior to IIROC, he served as a Crown Attorney and Department of Justice Crown Counsel. Mr. Kehoe has a Bachelor of Laws degree from the University of Windsor, a Juris Doctor degree from the University of Detroit Mercy, a Master of Laws degree specializing in securities law from Osgoode Hall Law School, a Certified Regulatory and Compliance Professional certificate from Wharton University of Pennsylvania and has received securities regulation training from Harvard. He currently serves on both private and public boards including charitable non-profit organizations. He completed the Rotman Institute Corporate Directors program (ICD. D).

Andrew Kriegler

President and CEO, IIROC

- Speaker, IIROC Priorities

Andrew J. Kriegler assumed the position of President and Chief Executive Officer of the Investment Industry Regulatory Organization of Canada (IIROC) on November 1, 2014.

Before joining IIROC, Mr. Kriegler held the position of Deputy Superintendent of the Office of the Superintendent of Financial Institutions (OSFI), with responsibility for the supervision of more than 400 federally regulated financial institutions. He joined OSFI in February 2013 as the Assistant Superintendent, Supervision Sector. Prior to OSFI Mr. Kriegler was Senior Vice President & Treasurer of CIBC from November 2008 to August 2012. Before joining CIBC, he was Senior Vice President & Chief Human Resources Officer of Moody's Corporation, parent of the credit rating agency Moody's Investors Services. Prior to joining Moody's in 2000, Mr. Kriegler was responsible for liquidity risk management, funds transfer pricing, and development of wholesale funding and securitization programs at Canada Trust. His responsibilities also included directing credit market access and representing the company to institutional investors as well as to government and regulators in matters concerning liquidity risk and asset securitisation. From 1993 to 1997, Mr. Kriegler worked as an investment banker with the securitization and debt capital markets groups at BMO Nesbitt Burns, having joined a predecessor firm from CIBC's Wholesale Banking group where he specialized in structured finance and mortgage- and asset-backed securities.

Mr. Kriegler holds an MBA from the Richard Ivey School of Business at Western University and a B.Sc. in Computer Science and Economics from Trinity College in the University of Toronto.

Rob Lando

Partner, Osler Hoskin & Harcourt LLP

- Speaker, Cross Border Challenges

Rob is a partner in the New York office of Osler, Hoskin & Harcourt LLP. He is a cross-border corporate and securities lawyer with significant practice experience in the United States and Canada. Rob provides concurrent advice on both the U.S. and Canadian law aspects of structuring, planning and executing public and private cross-border corporate finance and M&A transactions. He advises on compliance with U.S. and Canadian public company disclosure and corporate governance requirements, including the Sarbanes-Oxley Act and corresponding Canadian rules and policies. A significant component of Rob's practice is devoted to advising on the structuring of financing and M&A transactions utilizing the Canada/U.S. Multijurisdictional Disclosure System

(MJDS). Rob also routinely advises Canadian issuers and underwriters on extending offerings into the United States under Rule 144A or in conventional private placements, and U.S. issuers and underwriters on extending offerings into Canada.

Sean McGratten

Assistant General Counsel, Royal Bank of Canada

- Speaker, Statutory Best Interest Standard

Sean McGratten leads the legal team supporting RBC Wealth Management Canada, RBC Branch Investments & Direct Investing, and PHN&N Investment Services. In doing so, Sean and team advise the full service and order-execution only IIROC-member investment dealers, MFDA-member mutual fund dealers, investment counsel, estate and trust services, insurance broker, and wealth and financial planning services. Sean also regularly participates in industry committees and working groups. Prior to Royal Bank, Sean was Vice President and Legal Counsel with DundeeWealth, then an independent financial services provider, Legal Counsel on the Market Regulation team at the Ontario Securities Commission, and before that practiced corporate law and commercial litigation in private practice. Sean completed his Bachelor of Laws at Osgoode Hall Law School and a Bachelor of Arts at the University of Western Ontario.

David Moore

Director, Trade Supervision, BMO Capital Markets

- Speaker, AML FAQs...your questions answered

Dave Moore has 25 years investment industry experience including back office, agency trading, derivatives trading, market making, compliance. As Director of Trade Supervision for BMO Capital Markets, Dave currently manages a team global professionals whose mandate is to support front office management to ensure appropriate systems, processes and procedures are in place to meet supervisory obligations in an ever expanding global regulatory environment.

Jim Omers

Managing Director, OMERS Ventures

- Speaker, Blockchain and FinTech - a Canadian perspective

In his role as Managing Director of OMERS Ventures, Jim Orlando is responsible for leading investment activities in the North American market focusing on high-growth companies in the technology, media, and telecommunications sectors. With more than 14 years of experience in the venture capital and private equity sectors, Jim has a strong track record of finding deals, closing investments, and in working with strong founders, CEOs and management teams on the ongoing development and growth of their businesses. He is responsible for OMERS Ventures' investments in BuildDirect, Digital Currency Group, Jobber, Nudge, Ranovus, and Wattpad. Jim also led the investment into Shopify (NYSE: SHOP, TSX: SH).



Prior to joining OMERS Ventures, Jim was a Managing Director at OMERS Private Equity, which directly owns and actively manages a diversified, multi-billion dollar portfolio of investments in North America and Europe. Jim was involved with direct investments in the software, mobile telephony and retail sectors.

Prior to that he held key roles with Bell Canada Capital and Battery Ventures in Silicon Valley, and also has ten years of operational experience in the telecom industry.

Jim holds Bachelor of Computer Engineering and Management, and Master of Electrical Engineering degrees from McMaster University.

Frédéric Pérodeau

Senior Director of Investigations, Autorité des marchés financiers

- Speaker, Ask the Regulator

Frédéric Pérodeau is Senior Director, Investigations with l'Autorité des Marchés Financiers (AMF), the body mandated by the government of Québec to regulate the province's financial markets and provide assistance to consumers of financial products and services. He has previously been Director of its Litigation Department in Montréal.

Prior to working in-house, he was a partner with McCarthy Tétrault where his practice focused on civil and commercial litigation and professional liability. He has also worked as in-house counsel for one of the leading engineering and construction groups in the world.

Frédéric was called to the Quebec Bar in 1998. He received his Bachelor of Laws degree from Université de Montréal in 1997, where he was awarded the Faculty Medal. He also completed his bachelor's degree in Economics at the Université du Québec à Montréal in 1993, the Canadian

Securities Course of the Canadian Securities Institute and the Business Leadership Program for In-House Counsel offered by the Rotman School of Management (University of Toronto).

He has authored numerous legal publications and agreed to be a frequent guest speaker for several organizations including the International Organization of Securities Commissions (IOSCO) and Harvard Law School, the North American Securities Administrators Association (NASAA), the Canadian Bar Association (CBA) and the American Bar Association (ABA).

Frédéric is the Chair of the Canadian Securities Administrators (CSA) Enforcement Committee, a committee made up of key enforcement officials in each of the Canadian jurisdictions that discuss general enforcement issues, processes and specific cases where reciprocal or joint action is appropriate. He is the President of the Quebec Bar Professional Inspection Committee and sits on the Quebec Bar Committee for Access to the Profession. He is the Past Chair of the Canadian Corporate Counsel Association.

Victoria Pinnington

Senior Vice-President, Market Regulation, IIROC

- Speaker, Cross Border Challenges

Victoria Pinnington is responsible for the management of all of IIROC's market-related activities, including market policy, trading conduct compliance, market surveillance, and trading review and analysis. Victoria oversees IIROC's debt surveillance as well as development of the organization's cross-product surveillance and analysis capabilities.



Victoria has been in the market regulation field for over 15 years and has held a variety of positions at IIROC, most recently as Vice-President, Trading Review and Analysis responsible for the oversight of preliminary reviews of potential improper trading activity, post-trade surveillance, and market analytics including proactive and reactive market trend analysis to inform policy making.

Victoria oversaw IIROC's Study of High Frequency Trading and under her leadership the analytics team published a number of papers including "Identifying Trading Groups: Methodology and Results" (September 2014), and "Impact of Dark Rule Amendments" (May 2015) both of which are published on IIROC's website.

Victoria is currently the Chair of the Intermarket Surveillance Group, an international group of exchanges, market centers, and market regulators that perform front-line market surveillance in their respective jurisdictions.

Prior to her career in market regulation, Victoria pursued a career in opera performance and continues to perform regularly with the Canadian Opera Company.

Elsa Renzella

Vice President, Enforcement, IIROC

- Speaker, Ask the Regulator

Elsa Renzella is Vice-President, Enforcement for the Investment Industry Organization of Canada (IIROC). Prior to that, she was the Director, Enforcement Litigation at IIROC for 3 years. She is a lawyer with over 10 years of litigation experience. She was Enforcement Counsel with IIROC and its predecessor, the Investment Dealers Association of Canada for over eight years. As Enforcement Counsel, her primary responsibilities involved the prosecution of Member firms and individual registrants who breach IIROC by-laws and/or securities legislation. She began her legal career practicing criminal defence litigation at the Toronto law firm Skurka & Pringle for five years. She obtained a Bachelor of Business Administration degree from York University and her Bachelors of Law degree from Osgoode Hall Law School.



Usman Sheikh

Partner, Gowling WLG

- Speaker, Blockchain and FinTech - a Canadian perspective

Usman Sheikh is a Litigation Partner in Gowling WLG's Toronto office. His practice focuses on complex corporate/commercial litigation, with an emphasis on securities litigation, compliance matters, shareholder activism, contested corporate transactions, crisis management & internal investigations, and class proceedings. He is also a leading thinker on the application of Fintech/blockchain to the capital markets.



Usman has served as counsel on several precedent-setting securities and commercial cases in Canada, including cases before the Supreme Court of Canada. He has appeared before all levels of court in Ontario, Alberta and Nova Scotia, as well as before a wide variety of administrative tribunals, including the Ontario Securities Commission (OSC) and the Investment Industry Regulatory Organization of Canada (IIROC).

Prior to joining Gowling WLG, Usman spent four years as a prosecutor in the OSC's Enforcement Branch, including within the specialist Insider Trading/Market Manipulation Unit. In this role, he investigated and prosecuted all forms of securities law violations, including the largest criminal case of insider trading in Canadian history, as well as a recent regulatory case of insider trading for which the highest sanctions in Canada were ordered.

Usman was recently appointed as the inaugural co-chair of the American Bar Association (ABA)'s Securities Litigation Sub-Committee for Canada. In April 2016, the ABA Section of Litigation

honoured Usman with the 2016 Outstanding Subcommittee Chair Award, making him first ever Canadian recipient of this award. Usman previously served as co-chair of The Advocates' Society's Securities Litigation Practice Group, one of the largest collectives of securities litigators in Canada.

Author of over 25 legal and academic publications, Usman is a frequent lecturer at the University of Toronto's Faculty of Law, Osgoode Hall Law School and the DeGroot School of Business at McMaster University. In 2016, Usman was recognized by Benchmark Canada's Definitive Guide to Canada's Leading Litigation Firms & Attorneys as a "Future Star" in litigation.

Brian Smallhorn

Executive Director & Chief Compliance Officer, Morgan Stanley Canada Limited

- Speaker, AML FAQs...your questions answered

Brian Smallhorn has been an Executive Director and Chief Compliance Officer at Morgan Stanley Canada Limited since 2010 and currently serves as the Chair of IIROC's CLS Institutional Subcommittee. Prior to joining Morgan Stanley, he served as Chief Compliance Officer at Merrill Lynch Canada Inc. Brian has been in the industry since 1997 in a variety of other roles and holds a B.A. in Economics and B.A. in Psychology from McMaster University and is also a Certified Anti-Money Laundering Specialist (CAMS).

Lise St-Onge

Manager, Trading Conduct Compliance, Investment Industry Regulatory Organization of Canada (IIROC)

- Speaker, AML FAQs...your questions answered

Lise is a Manager in the Trading Conduct Compliance department at IIROC. Lise has been with IIROC, and its predecessor, Market Regulation Services Inc. since August 2007 and has held a variety of positions. She is currently responsible for leading a team of Examiners that conduct reviews of Dealer Members further to supervision of trading and compliance with the Universal Market Integrity Rules (UMIR).

Prior to IIROC, Lise worked in different compliance and trading functions at several broker dealers, a hedge fund boutique and a Wealth Management firm. In addition, Lise worked at the Montréal Exchange as a marketing analyst to help commercialize and promote the Montreal Exchange derivative products..

D. Grant Vingoe, BA, JD, LL.M., ICD.D.



Vice-Chair, Ontario Securities Commission

- Morning Keynote Speaker
- Speaker, Cross Border

Grant Vingoe is Vice-Chair of the Ontario Securities Commission (OSC). He is a leading counsel on securities law in the U.S. and Canada, with extensive experience as a leader on cross-border securities initiatives and a background in corporate governance and regulatory policy. He has been a partner with international law firms in Toronto and New York, where he specialized in the regulation of financial institutions and capital market transactions. He is a former independent director of Market Regulation Services Inc. and the Investment Industry Regulatory Organization of Canada (IIROC), and was Chair of IIROC's Corporate Governance Committee. He was previously Counsel, Market Policy at the Toronto Stock Exchange. He has served on the OSC's Securities Advisory Committee.

Mr. Vingoe also serves on the board of directors of Springboard Danse Montreal, a not for profit dance educational organization and is on the Advisory Board of Reach the World, a not for profit educational organization that connects students travelling abroad with primary school classrooms to augment learning in geography and social studies.

Mr. Vingoe is a graduate of the University of Toronto and Osgoode Hall Law School at York University. He received his LL.M. from the New York University School of Law.

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