

Conduct, Compliance and Legal Advisory Section (CCLS) Conference December 2nd, 2019

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IIROC Priorities

Irene Winel

Senior Vice-President, Member Regulation and Strategy, IIROC

Irene Winel is responsible for the development and implementation of member regulation policy, as well as business conduct compliance and financial and operations compliance. She also leads the development of IIROC's organizational strategy, together with the other members of IIROC's Executive Management Team.



Irene is a senior business leader, experienced in financial services operational management focusing on change and growth management, with expertise in legal, compliance and corporate governance.

Before joining IIROC, Irene served as Country Executive for Compliance and Operational Risk at Bank of America Merrill Lynch (BAML). Prior to joining BAML, Irene had been the Chief Compliance Officer with UBS Securities Canada and among other roles, Chief Operating Officer at HSBC Securities (Canada).

Irene was previously a member of IIROC's Market Rules Advisory Committee and the Conduct, Compliance and Legal Advisory Section Executive. She has also served on the Ontario District Council.

A lawyer with a Juris Doctor from the University of Toronto and a Bachelor of Commerce from the University of British Columbia, Irene first worked in the industry as legal counsel at the Vancouver Stock Exchange after beginning her career in private practice in British Columbia.

Morning Keynote Speaker

Paul C. Bourque

President and CEO, Investment Funds Institute of Canada (IFIC)

Paul Bourque, Q.C., ICD.D assumed the position of President and CEO for the Investment Funds Institute of Canada on July 18, 2016. Most recently he held the position of Executive Director of the British Columbia Securities Commission. Prior to that Paul was an Associate Partner with Deloitte Inc. leading the national securities and regulatory investigation practice. Prior to joining Deloitte, Paul held senior positions with a number of securities regulators and law enforcement agencies: Senior Vice President of Member Regulation for the Investment Industry Regulatory Organization of Canada, Director of Market Operations for the Ontario Securities Commission, and the Enforcement Director for the British Columbia Securities Commission. In addition to his experience as a securities regulator, Paul was a special prosecutor, Director, Criminal Appeals and Criminal Law Policy and Deputy Attorney General and Deputy Minister of Justice with the Alberta Department of Justice. Paul is a member of the Law Society of British Columbia and the Law Society of Upper Canada.



Fee-Based Accounts: Strategy, Service, Supervision

Nick Cardinale

Chief Compliance Officer, RBC Wealth Management Canada

Mr. Cardinale is the Chief Compliance Officer for RBC Wealth Management Canada and RBC Dominion Securities Canada Inc. (Wealth Management). Before joining RBC in 2012, Mr. Cardinale was Managing Director - Legal, Risk and Compliance & General Counsel for UBS Bank (Canada) and UBS Investment Management Canada from 2002 to 2012. Prior to his time at UBS, Mr. Cardinale was Vice President and Senior Counsel from 1999 to 2002 for Merrill Lynch Canada Inc./CIBC World Markets. Merrill Lynch Canada Inc. was a retail brokerage business acquired by CIBC World Markets Inc. Mr. Cardinale has also been Legal Counsel to TD Bank Financial Group and prior to this was a Commercial Litigation Lawyer with Strauss, Cooper. Mr. Cardinale is a graduate of Osgoode Hall Law School.



Laura Paglia

Partner and Regional Co-Leader, Securities Litigation & Regulatory Group, Borden Ladner Gervais

Laura Paglia is the Regional Co-Leader of Borden Ladner Gervais' Securities Litigation and Regulatory Group. Laura has practiced in securities law and regulatory matters throughout her legal career. Laura's practice encompasses the representation of numerous full service and discount investment dealers, mutual fund dealers, futures dealers, investment funds, underwriters, private funds, investment banks, introducing and clearing firms, investment advisors, portfolio managers, compliance professionals, research analysts, directors and officers, industry associations and other market participants.

Laura provides ongoing legal advice on compliance, regulatory and securities industry issues as well as representation in civil proceedings and a variety of regulatory proceedings and investigations conducted by provincial securities commissions, the Investment Industry Regulatory Organization of Canada, the Mutual Fund Dealers Association of Canada and other regulatory bodies, the Crown and federal criminal authorities.

Laura's practice includes disputes in respect of various alleged securities law breaches, shareholder right litigation, mergers and acquisition/take-over bid litigation and directors' and officers' liability.

Laura regularly provides various in-house training programs for market participants and is a frequent speaker and written contributor to topical securities issues.



Noel Sequeira

Manager, Business Conduct Compliance, IIROC

Noel Sequeira is Manager, Business Conduct Compliance at IIROC. With IIROC for a combined 14 years, Noel ensures that IIROC Dealers comply with business conduct requirements through risk-based exams, business change reviews and other forms of continual oversight. Noel also helps ensure that Business Conduct Compliance's exam program remains effective, efficient and relevant.

While on recent secondment with the OSC, Noel performed reviews of EMDs and IFMs. Noel also contrasted and reported on the various regulatory approaches employed by the OSC and IIROC's compliance teams suggesting best practices to increase effectiveness through alignment and information sharing. Noel previously acted as Chief Compliance Officer for a boutique IIROC Dealer and performed compliance/oversight at a Canadian bank-owned IIROC Dealer.



Internalization of Trading Volume

Rizwan Awan

Managing Director, Equity Products, BMO Capital Markets

Rizwan heads up Quantitative Execution Services, providing institutional equity clients program and electronic trading services as well as index and market structure research. Mr. Awan is an active advocate for fair and efficient markets in the market structure community and represents BMO on a number of advisory groups including IIROC's MRAC and OSC's MSAC. His background in and passion for technology has helped steer initiatives geared towards building the trading desk of the future.

Mr. Awan is also the former Chair of the Canadian Securities Traders Association and on the current Board of Governors of the US Securities Traders Association. He holds a BMath degree in Computer Science from University of Waterloo and is a CFA charterholder.



Kent Bailey

Trading Specialist, Market Regulation Branch, OSC

Kent first joined the Market Regulation Branch of the OSC in early 2010 after spending over 10 years trading equities and options, and 2 years as a Registered Trader. He re-joined the OSC in 2012 after spending about a year with IIROC in Market Regulation Policy.

Kevin McCoy

Vice President, Market Regulation Policy, IIROC

Kevin has over 25 years of experience working in the securities industry, holding various senior roles with several Canadian dealers. These roles spanned both operations, compliance and regulatory. Immediately prior to joining IIROC, Kevin spent 8 years heading up the equity trading compliance and supervision area at a large Canadian investment dealer. Kevin joined IIROC in 2010 as a Senior Policy Analyst in its Market Policy Group prior to moving to the role of Director of Market Analytics and Special Projects in 2011. Kevin has since returned to policy and is currently Vice-President, Market Policy and Trading Conduct Compliance.



Matthew Thompson

Chief Compliance Officer, Nasdaq Canada

Matt Thompson is the Chief Compliance Officer at Nasdaq Canada. In this role, Mr. Thompson is responsible for the exchange's regulatory and compliance programs. Mr. Thompson joined Nasdaq in 2016 through the acquisition of Chi-X Canada ATS Limited where he also was CCO.

In his role as CCO at Chi-X Canada and Nasdaq Canada Mr. Thompson was responsible for securing regulatory approval for the introduction of a second lit trading book (CX2), a new dark venue (CXD) and for transitioning Nasdaq Canada from an Alternative Trading System to a recognized exchange. Prior to joining Chi-X Canada, he held positions at the Ontario Securities Commission, Autorité des marchés financiers and IIROC.

Mr. Thompson was a previous member, vice chair and chair of IIROC's Market Rules Advisory Committee and is a member of the TMX IP Governance committee. He holds a Bachelor of Science from McGill University, is a CFA Charterholder and is currently enrolled in the LLM program at Osgood Hall Law School specializing in securities law.

External Relationships: Compliance Best Practices

Ellen Bessner

Partner, Babin Bessner Spry.

Ellen Bessner is an experienced, tough minded and common-sense commercial litigator with over 25 years of practice at prominent Canadian firms, 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 IROC, MFDA, OSC and FSCO/FSRA. 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*** and has recently written the sequel ***Communication Risk, How to Bridge the Client-Advisor Gap to Protect and Grow Your Business***. Her books are leading risk management tools 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 (financial and investment advisors, portfolio managers, insurance brokers and agents, supervisors and branch managers, 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 was appointed to the OSC's Seniors Expert Advisory Committee, was co-author of paper entitled "Current Practices for Risk Profiling in Canada and Review of Global Best Practices for the OSC's Investor Advisory Panel, 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.

Judy E. Long

Principal, J. E. Long Consulting

An accomplished professional with over 25 years of Institutional and Retail Compliance experience in the Canadian securities industry, both at Dealer Member firms and at IIROC. Judy has been a professional compliance consultant in the securities industry since 2012, assisting various Dealer Members with external AML audits, technology testing, as well as assisting Dealer Members with concerns relating to IIROC requirements, and assisting in the resolution and implementation of requirements pertaining to IIROC audit findings.



Judy has been involved in securities industry committees and sub-committees throughout her career, including:

- Chair of Education Sub-Committee of the Compliance & Legal Section (CLS) of the Investment Dealers Association (IDA), 1988 – 1998
Developed and organized the first annual Compliance Officer’s training program which continues to be held on an annual basis.
- Chair of CLS Institutional Sub-Committee, 1998 – 2006
Led the industry sub-committee to the successful completion and regulatory approval of IDA Policy 4(now Rule 2700)
Worked closely with the sub-committee and regulators in the development of Minimum Standards for Trading Supervision.
Collaborated with industry representatives and regulators in the development and clarification of IDA Policy 11 (now Rule 3400)
- Member of CLS Executive Committee, 1995 – 2006
Worked closely with regulators and other executive committee members to provide extensive input regarding rule development and policy making, as well as to highlight areas of industry concern for further discussion and action by the CLS.

Leo Purcell

President & CEO, Comarm Solutions Inc.

Leo Purcell founded Comarm Solutions in 2008 with the goal of building a consulting practice focused on compliance and regulation for the investment industry. Today, Comarm is a team of senior compliance experts who advise and support investment firms, law firms, securities regulators, and other investment industry participants. Comarm is the largest independent consulting firm focused on the compliance sector.



Leo has over twenty-five years' experience in the investment industry in a variety of risk management roles. His recent roles include: Chief Compliance Officer for Richardson GMP Limited, Chief Compliance Officer for GMP Private Client L.P, and Vice President, Compliance for GMP Securities L.P. He held other compliance roles with both large and small investment firms, and he spent three years as a regulator with the Investment Dealers Association of Canada (now IIROC).

Leo was a member of the Compliance & Legal Sub-committees for the investment industry that addressed such issues as Anti-Money Laundering and the Role of the Compliance Officer. He also participated in Compliance & Legal working groups for Fee Based account policies and Registration Reform.

Leo has presented to the investment industry on a variety of topics such as Anti-Money Laundering; Gatekeeper Obligations; Compliance Training for Investment Dealers; The Role of Research Analysts in the Due Diligence Process; and Conflicts of Interest.

David Reeve

CEO, InvestorCOM Inc.

David Reeve is CEO of InvestorCOM Inc., a leading RegTech provider in Toronto. InvestorCOM partners with Canada's leading wealth managers, providing technology solutions and BPO services, ensuring that they meet their regulatory and compliance obligations in a cost-effective manner. Prior to founding InvestorCOM, David spent 10 years at IBM building long-term outsourcing relationships with Canada's leading financial institutions. David graduated from Western University in economics.



Christian Zaludek

Manager, Business Conduct Compliance, IIROC

Christian Zaludek has been a Manager of Business Conduct Compliance with IIROC for the past 10 years. She oversees Business Conduct examinations, reviews new member applications and changes to business models. She has over 25 years of experience in the Canadian Securities Industry beginning at the Toronto Stock Exchange and Investment Dealers Association and later in senior compliance roles with three IIROC Dealer Members before returning to the regulatory environment. Christian holds a Bachelor of Science (Hons) from the University of Waterloo.



Benchmarking And Related Issues

Gillian B. Dingle

Partner, Torys

Gillian is the practice group leader for Torys' litigation department. Her practice focuses on civil litigation in the areas of corporate and securities law. She is also a co-head of the firm's securities defence practice. Gillian acts for capital market participants in defending civil claims and regulatory investigations before the Investment Industry Regulatory Organization of Canada and the Ontario Securities Commission. She also advises on internal investigations into regulatory matters. A significant portion of Gillian's practice involves disclosure questions, securities class actions, and defending investment dealers and brokers in trading-related matters. As a complement to this work, she advises financial institutions on investigations involving consumer protection matters. She also maintains an active commercial litigation practice, representing corporations in contested transaction matters, and providing advice and representation in cases and private arbitrations involving breach of contract and business torts.



Before joining Torys, Gillian was senior in-house counsel at a Canadian financial institution. Prior to practicing inhouse, Gillian spent over five years as a litigation associate at Torys and then left in 2011 to pursue her LLM at Columbia University.

Gillian sits on the Steering Committee of the OSC Litigation Assistance Program that provides free legal assistance to unrepresented respondents to OSC administrative proceedings. She is also a board member of Special Olympics Ontario, an organization that enriches the lives of Ontarians with an intellectual disability through sport. Gillian also volunteers with Golden Future, an organization that performs outreach work with high school students in Khyelitsha township, South Africa.

Gillian has appeared as counsel in all levels of court in Ontario, the Federal Court, the Federal Court of Appeal, and the Yukon Court of Appeal, and before the Ontario Securities Commission and other securities regulators.

John Fagg

Partner, Moore & Van Allen PLLC

John Fagg is co-head of Moore & Van Allen's Litigation Group and co-head of the firm's White Collar, Regulatory Defense and Investigations practice. Mr. Fagg has extensive experience representing clients in domestic, international, and cross-border white collar criminal defense and regulatory enforcement matters as well as in conducting internal investigations.



In his white collar criminal defense and government investigations practice, Mr. Fagg has represented clients in regulatory, enforcement, and criminal matters involving the Department of Justice, including Main Justice and U.S. Attorney's Offices throughout the country, the Securities and Exchange Commission, the Commodity Futures Trading Commission, the U.K. Financial Conduct Authority, the European Commission, the Monetary Authority of Singapore, the Hong Kong Monetary Authority, and numerous state attorneys general's offices, as well as self-regulatory bodies such as the Financial Industry Regulatory Authority (FINRA).

Mr. Fagg has represented some of the world's largest financial institutions in high profile government investigations into:

- Benchmarks and reference rates, including LIBOR and ISDAFIX;
- trading in foreign exchange, precious metals, government and quasi-government bonds, and various commodities markets; and
- investment banking practices

Mr. Fagg has led the firm's representation of clients in criminal investigations of possible market manipulation, spoofing, fraud, antitrust violations, public corruption, securities fraud, and health care fraud. He also conducts corporate internal investigations, including sensitive matters involving allegations of securities violations and alleged violations of federal and state laws and regulations.

Bill Kellett

Managing Director and Global Head of Institutional Foreign Exchange, Scotiabank Global Banking and Markets

Bill joined Scotiabank in May 2017 and is the Global Head of Foreign Exchange Trading, Institutional Sales, and EFX within the Global FX business unit. Prior to joining Scotiabank, he was the Global Head of FX Trading at TD Securities and encompassed a number of senior positions over his career spanning back to 2003. Bill is an active participant in the FX community and

is Scotiabank's representative on the Canadian Foreign Exchange Committee (CFEC). Bill also serves as the private sector external rep with CFEC and has been actively involved in several regulatory initiatives involve the FX Global Code through attendance at several Global Foreign Exchange Committee meetings (GFXC). In his spare time, Bill is actively involved in youth hockey as a coach and volunteer with the Mississauga Northstars in the GTHL and Oakville Rangers Hockey club.



Karl Wildi

Managing Director and Vice-Chair, Global Markets, CIBC Capital Markets

Karl joined CIBC in 2010 as Head of Capital Markets (Europe) based in London where he managed the firm's European trading desks, including Foreign Exchange, Rates / Fixed Income, Equity Derivatives, Commodities, Cash Equities and Funding / Repo. In 2013, Karl moved back to Toronto to assume responsibility for CIBC Capital Markets' Rates and Fixed Income franchise, which included government, credit, and derivative trading in our main trading hubs of Toronto, New York, London and Hong Kong.

Karl moved to his current role in 2016 as Vice-Chair in CIBC's Capital Markets division providing coverage of key clients across the Asset Management, Insurance, Bank, and Pension Fund sectors. He is also focused on product innovation and new business development. In 2018, Karl became the Co-Chair of the CARR working group responsible for developing a new term risk-free Canadian interest rate benchmark.

Prior to joining CIBC Capital Markets, Mr. Wildi spent over 25 years in a variety of global markets positions and most recently was Canadian Head of Fixed Income, Currencies and Commodities for a large U.S. bank based in Toronto.

Karl has a BA (Economics) from the University of Western Ontario, a MSc in Finance from the London School of Economics and is a Chartered Financial Analyst.



Afternoon Keynote Speaker

Lawrence Zelvin

Head, Financial Crime, BMO Financial Group

Larry Zelvin is the Head of the Financial Crimes Unit at BMO Financial Group where he is responsible globally for cyber security, fraud, physical security and crisis management. Prior to BMO, Larry was a Managing Director and the Global Head of Cyber Security at Citigroup. Larry has also held several roles in the U.S. Government that include Director, National Cybersecurity and Communications Integration Center, U.S. Department of Homeland Security; Senior Director for Response, National Security Council, The White House; and, Director, Homeland Defense Integration, Office of the Secretary of Defense, The Pentagon. He served as a U.S. Naval Officer and Aviator for 26 years and retired as a Captain.

Larry has a Bachelor of Arts from Boston University, a Master of Arts from the U.S. Naval War College and a Master of Science from the U.S. Defense Intelligence College.



Supervision of Borrowing to Invest Strategies & Other Complex Products

Margaret Chow

VP, Deputy General Counsel, Richardson GMP

Margaret Chow is VP, Deputy General Counsel at Richardson GMP. She started her career in litigation but quickly transitioned to an in-house legal counsel role at an independent investment dealer, where she has remained. Currently, she leads a team of legal and compliance professionals who are responsible for litigation management, regulatory enforcement, investigations, and providing general legal support to both branch and corporate staff at the independent dealer.

Charles Corlett

Director, Enforcement Litigation, IIROC

Charles Corlett is the Director, Enforcement Litigation at the Investment Industry Regulatory Organization of Canada (IIROC). IIROC is the national self-regulatory organization which oversees all investment dealers and trading activity on debt and equity marketplaces in Canada. IIROC carries out its regulatory responsibilities through setting and enforcing rules regarding the proficiency, business and financial conduct of dealer firms and their registered employees and through setting and enforcing market integrity rules regarding trading activity on Canadian equity marketplaces.

Charles was Senior Enforcement Counsel at IIROC and one of its predecessor organizations, Market Regulation Services Inc. Prior to IIROC, Charles practiced corporate and securities litigation at Osler LLP. He received his LL.B. from Dalhousie University.



Pascale Elharrar

Associate General Counsel & Managing Director, Legal, Corporate & Compliance Group. BMO Financial Group

Pascale leads BMO's Wealth Management Litigation team overseeing litigation and regulatory enforcement matters and related internal investigations globally. Pascale also formed and chaired BMO's Litigation Practice Management Group. Under her leadership, this group received two 2015 Innovatio Awards (Canadian Lawyer Magazine) for Innovation of the Year and Litigation Management. She received the 2017 Canadian General Counsel award in the Litigation Management category and was a finalist at the 2014 CGCA and Quebec General Counsel Awards. She is a member of the Board of Directors of Les Grands Ballets Canadiens de Montréal, a member of the Advisory Council of the National Centre for Dance Therapy of Grands Ballets, and a member of the Governance Committee of the Montreal Children's Hospital Foundation. She obtained her law degree (Martineau Award) from the Université de Montréal. Prior to joining BMO in 2001, Pascale practiced commercial and securities litigation at a major law firm in Montreal.



John Fabello

Partner, Torys

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.



MTRS And Fixed Income

Rick Brown

Director, Debt Markets Surveillance, IIROC

Mr. Brown is responsible for overseeing IIROC's surveillance of the Canadian Debt Markets with a collaborative team of professionals focused on protecting investors and fostering fair and efficient capital markets across Canada.

As a subject matter expert, Mr. Brown works closely with dealers, provincial commissions, the Bank of Canada, and other areas of IIROC to provide support, guidance, and education on issues prevalent in the ever-changing fixed income markets. As an active participant in a number of market related committees, Mr. Brown offers unique insight having spent 11 years on the sell-side, followed by 10 years on the buy-side.

Prior to joining IIROC, Mr. Brown was a Senior Portfolio Manager – Fixed Income, managing domestic and global mandates for two different asset management firms in Canada. Prior to crossing the street to the buy-side, Mr. Brown managed a large relative value credit portfolio for a large bank. The first six years of his career was spent in London, England, initially trading interest rate derivatives, before developing the credit and credit derivative businesses, followed by a further five years in Toronto. Mr. Brown is a graduate of Bishop's University (BBA), University of Reading (M.Sc Finance), and obtained the Chartered Financial Analyst (CFA) designation.



André Craig

EVP & Head of Data Innovations, CanDeal Solutions

André is a seasoned financial services executive with global experience in strategy development, product innovation, building capital markets trading and data technology solutions, developing global strategic partner commercial relationships, and extensive expertise in FinTech M&A.



André currently heads up the CanDeal DataVault business. The primary focus is to build and launch a data-as-a-service platform to pool Canadian Dealer's over the counter content. While formally establishing Dealer data IP rights, the goal is to facilitate an innovation-oriented ecosystem where data fuels risk systems, pricing models, enhances compliance capabilities and overall to provide a highly secure and interoperable platform. Canada is now being seen as a leader in this area, and the results are expected to help enhance the strength and resiliency of Canadian capital markets offerings on the global stage.

Previous to this role, André was been engaged in overseeing a number of strategic fintech and regtech initiatives in Europe, US, and Canada working with global exchanges and banks with emphasis on data as a service platforms, risk and analytics.

André has spent much of his career building multi-asset class data and delivery solutions from cloud-based Hadoop ecosystem platforms, digital content solutions to microwave wireless networks. He has extensive experience commercializing and licensing data, harnessing the value of IP, and maximizing direct sales and channel management.

André was head of trading at TMX and ran product and business development for the information services business. Prior to joining TMX, André worked for several Canadian banks where he worked in various management positions including Investment Product Management, International Banking, and Operations.

André holds an MBA from Schulich School of Business, a Bachelors Degree in Administrative and Commercial Studies from UWO, and Information Technology from Ryerson.

Laflèche Montreuil

Compliance Manager, Trading Desk, Desjardins

Desjardins Securities offers a complete range of securities brokerage products and services through its investment advisors and its Disnat Online Brokerage division. The needs of businesses and institutions are handled by its Corporate Financing, Debt Capital Markets, and Equity Capital Markets departments. Requirement for Debt Transaction reporting and surveillance is handled by his team.



Keynote Panel – AML Session

Marc Lemieux

Partner, Lemieux Business Law

Mr. Lemieux is a lawyer and a member of the Bars of Quebec and Ontario.

He provides specialized legal advice and representation to users and suppliers of financial services. He acts for clients across Canada in court cases, commercial transactions and regulatory compliance matters arising in the banking, finance and payment industries.

His clients include banks, credit unions and other financial institutions, money services businesses, payment service providers, fintechs, crypto asset dealers and exchanges, as well as a variety of businesses and organizations that borrow funds or use credit facilities, convert currencies or hedge financial risks, hold deposit or investment accounts, make or receive payments, or otherwise use financial services.

Mr. Lemieux is a sessional lecturer at McGill's Faculty of Law, where he teaches banking, payment and credit law. As well, Mr. Lemieux is an accredited mediator and arbitrator and provides alternative dispute resolution services.

For more information, please visit www.lda-lbl.com.



Gerry McGeachy

Partner, Graydon McGeachy Law LLP

Gerry McGeachy is an experienced trial and appellate lawyer. He has been involved in the enforcement of criminal and regulatory law for over 20 years as a crown attorney and senior enforcement counsel with the Ontario Securities Commission. His law practice is dedicated to helping companies and individuals proactively manage their compliance risks, thereby avoiding regulatory sanctions and reputational loss. He has a keen interest in emerging and disruptive technology, and all the potential risks and rewards it brings.

Gerry is a Certified Fraud Examiner and has a keen interest in risk management and compliance issues. He has a CAMS designation from the Association of Certified Anti-Money Laundering Specialists and a CFCS designation from the Association of Certified Financial Crime Specialists. Gerry sees the growth of regulation and associated sanctions as key business concerns, reflected domestically in, for example, securities legislation, the Proceeds of Crime (Money Laundering) and Terrorist Financing Act (PCMLTA) and the Corruption of Foreign Public Official Act (CFPOA), and internationally in legislation such as the U.S. Foreign Corrupt Practices Act, the U.K. Bribery Act, and the European General Data Protection Regulation.



Matt McGuire

Co-Founder and Practice Leader, The AML Shop

Matt is the Co-Founder and Practice Leader with The AML Shop. He is an internationally recognized expert in anti-money laundering, counter-terrorist financing, and sanctions. He has been assisting financial institutions to assess and reduce financial crime and related regulatory risks for over fifteen years.



Matt has served as an advisor to Canadian and foreign governments on the development of their laws and financial intelligence functions and as a consultant to the UN office on Drugs and Crime. He is an instructor of numerous ACAMS courses, including those on Trade Based Money Laundering. He is also the author, peer reviewer, and instructor of the ACAMS sanctions course and an instructor for the University of Toronto's Master of Forensic Accounting program.

Matt recently became Certified as a Cryptocurrency Investigator and has added the CCI (Certified Cryptocurrency Investigator) to his list of designations.

Samara Organa

Director of AML Policy, Enterprise AML Group, CIBC

Samara Organa is currently the Director of AML Policy at CIBC. Prior to joining CIBC in 2019, Samara was with the Office of the Superintendent of Financial Institutions of Canada as a Senior Supervisor in the Culture and Conduct Risk Division. In this position, Samara assessed the effectiveness of AML/ATF and Compliance programs of Canadian federally regulated financial institutions. Samara's career started at TD, where she held various roles in AML and Compliance.

Samara holds a Bachelor of Arts from McGill University and a Bachelor of Laws from the University of New Brunswick. She also holds designations from the Association of Certified Anti-Money Laundering Specialists and the Association of Certified Financial Crime Specialists.

