



## **CLS Education Sub-Committee Breakfast Seminar**

### **IIROC's new Electronic Trading Rules – Best Practices & Challenges.**

Join Deanna Dobrowsky, Kevin Sampson, and Kirk Coe as they discuss Electronic Trading Rules and its impact to client trading, compliance, emerging trading technology on a global landscape. The panel will overview the objectives of the rules, marketplace challenges, and ground level impact across participants and overall risks associated with the use of electronic trading on Canadian marketplaces.

*Questions in advance are encouraged and welcomed by the Panel.*

**Speakers:** **Kirk Coe**, *Chief Compliance and Anti-Money-Laundering Officer, BMO Investorline*. Kirk Coe is responsible for the leadership and overall compliance strategy for BMO InvestorLine. In his capacity, Kirk represents the firm and collaborates with Regulators and internally within BMO Financial Group. He also chairs the Order Execution Only Sub-Committee whose mandate is to represent the Order Execution firms to provide specialized advice on issues and policy development. Prior to joining BMO InvestorLine in 2011, Kirk held the roles of Vice President and Director, Retail Compliance for BMO Nesbitt Burns. Prior to joining Compliance in 2002, he held management roles within Operations and Client support for BMO Nesbitt Burns and TD Wealth Management.

**Deanna Dobrowsky**, *Vice President, Market Regulation Policy, Investment Industry Regulatory Organization of Canada*. Prior to her role at IIROC, Deanna was most recently Director, Regulatory Affairs at TMX Group where she was a member of the General Counsel's Office from 2003 to 2012. Before TMX Group, Deanna worked as a lawyer in private practice, as well as in the legal department of a large Canadian financial institution.

**Kevin Sampson**, *Vice President, Business Development & Strategy, TMX Equities Trading*. Kevin is responsible for leading the Canadian and International sales and relationship management activities and market strategy for the equities trading businesses of Toronto Stock Exchange (TSX), TSX Venture Exchange, TMX Select, and Alpha. Kevin joined the equities trading team at TMX Group in 2006 and in 2008 assumed the role of Director, Product Development and Business Management where he was responsible for managing the development of new trading products and services to meet the needs of market participants, as well as guiding the roll-out of TSX and TSX Venture Equities trading product strategy. Prior to joining TSX, Kevin held management roles in Operations, Product Management, and Client Support at SS&C Technologies, a leading supplier of software and software-enabled services for the financial services industry.

**Date:** Wednesday May 15<sup>th</sup>, 2013.

**Time:** 7:45 – 8:00 AM Continental Breakfast  
8:00 – 9:15 AM Presentation

**Location:** Lakeview Boardroom, Torys LLP, 79 Wellington Street West, 33<sup>rd</sup> Floor, Toronto. Located on the south side of Wellington Street west, half way between York & Bay Streets. Closest TTC stations – Union Station or St. Andrew Station.

Note for attendees who will also be attending the full CLS meeting afterwards, our seminar will end as close to 9:15 as possible and the start of the CLS meeting will be at 9:45 am, allowing time for you to get to the CLS meeting, being held 2 blocks north of our session.

**Cost:** \$35.00 + HST

**Payment:** Individual registration via credit card only.

**Registration** **May 10<sup>th</sup>, 2013** (Registration may be closed earlier due to limited seating capacity).

**Deadline:** Registration will not be permitted at the door.

To Register: [\[Click Here to Register\]](#)

**We encourage you to submit a question or hypothetical event that you would like our speakers to address at the seminar with your registration or by email to [chair@clseducation.ca](mailto:chair@clseducation.ca). All questions will be anonymous.**

Please note that there will be no presentation material provided. Additionally, this session will not be taped for future dissemination.

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## **SAVE THE DATES:**

### **Third Annual Golf Tournament**

[Mark your calendar!](#) Our 3rd Annual Golf Tournament will be held on Friday June 7th, 2013 at Glen Cedars Golf Club in Toronto. Registration is open now at <https://event-wizard.com/CLSGolf2013/0/welcome/>.

### **2013 Annual Compliance Conference**

Please note our Annual Compliance Conference will be held on **Tuesday December 3<sup>rd</sup>, 2013** at the Metro Toronto Convention Centre, so mark your calendars now to attend. We also invite you to bookmark our website, [www.clseducation.ca](http://www.clseducation.ca), and check the Events page frequently as information about dates and topics for our upcoming events will be posted there in advance of the invitations to register.

**Housekeeping:** *"The views and opinions expressed in the upcoming presentation are those of the authors who are solely responsible for the content. The views expressed may not necessarily reflect the views of IIROC or of the CLS Education Sub-Committee."*