

CLS Education Sub-Committee Breakfast Seminar

Privacy – What you need to know!

Please join us for a panel discussion on the obligations and considerations of privacy requirements that are faced by Broker Dealers in Alberta and across Canada.

Our expert speakers will focus on issues pertaining to privacy laws, current legal trends, regulatory changes, practical application of privacy compliance programs, and challenges that Broker Dealers face today in navigating the privacy requirements across Canada.

Questions in advance are encouraged and welcomed by the Panel.

Speakers: Pat Flaherty, *Partner, Torys LLP*

Bruce Maranda, CA, CFE, FMA, FCSI, *Executive Vice President Global Compliance & Chief Compliance Officer, Canaccord Financial*

Frank Work, Q.C., *Consultant in information management, access privacy and organizational ethics*

[For biographies of our esteemed speakers, please click here.](#)

Date: Wednesday September 18th, 2013.

Time: 7:45 – 8:00 am Mountain time - Continental Breakfast
8:00 – 9:15 am MT - Presentation

Location: **Calgary Marriott Downtown,**
Kensington CD Rooms, 110 - 9th Avenue SE, Calgary, AB, T2G 5A6

Note for attendees who will also be attending the full CLS meeting afterwards, our seminar will end as close to 9:15am as possible and the start of the CLS meeting will be at 10:00 am Mountain Time, in the same hotel and meeting room.

Cost: **IN PERSON:** \$35.00 + HST for those attending in person.

BY PHONE: \$10.00 + HST for individuals who are outside of the Province of Alberta.

Call in details will be provided 48 hours prior to the seminar to those individuals who have registered to attend by telephone. Attendees are invited to gather in boardrooms and dial in together, however please note that individual registration is required, and only those who are registered and who confirm their attendance on the call will receive CE credits.

As a reminder, the times quoted for this seminar are Mountain Time.

Payment: Individual registration via credit card only.

Registration Deadline: **September 10th, 2013** (Registration may be closed earlier due to limited seating capacity). Registration will not be permitted at the door.

To Register: [\[CLICK HERE \]](#)

We encourage you to submit a question or hypothetical events that you would like our speakers to address at this seminar, please email 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.

SAVE THE DATE:

2013 Annual Compliance Conference

Please note our Annual Compliance Conference will be held on **Tuesday December 3rd, 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, 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.

Speaker Biographies:

Pat Flaherty – Torys LLP

Pat Flaherty is a partner in the Litigation Group of Torys LLP in Toronto. His practice focuses on civil litigation, with an emphasis on corporate/commercial, class action defence, product liability, intellectual property, and privacy. Pat has appeared before all levels of court in Ontario and in the Federal Court of Canada, and he has extensive trial experience, both in court and as counsel in domestic and international arbitrations in Canada, the United States, Europe and Asia. He has been recognized in Lexpert and Benchmark as a leading lawyer in multiple practice areas including corporate/commercial litigation, class actions, product liability, professional liability, securities litigation and intellectual property litigation. He has taught advocacy in several Canadian law schools and currently teaches in the LLM Program of Osgoode Hall Law School.

Pat has advised clients in relation to and litigated multiple claims in the privacy area, including in proceedings before the Federal Court of Canada, the Ontario Superior Court, the Federal Privacy Commissioner of Canada, and the Information and Privacy Commissions of numerous provinces. He writes and speaks frequently on privacy and litigation.

Bruce Maranda, CA, CFE, FMA, FCSI – Canaccord Financial

Executive Vice President Global Compliance & Chief Compliance Officer

As head of Global Compliance, Bruce Maranda is responsible for overseeing Canaccord's compliance, registration and continuing education departments.

Before joining Canaccord in 2001 as Vice President, Compliance, Mr. Maranda held positions with Price Waterhouse, Revenue Canada Taxation, and the Auditor General of Canada. At the Vancouver Stock Exchange, he served in compliance and enforcement, and as Director of Member Regulation at the Investment Dealers Association he was responsible for registration, compliance, investigations, and enforcement.

Mr. Maranda received his Bachelor of Commerce in Finance from UBC. He has continued to gather credentials as a Chartered Accountant, Certified Fraud Examiner and Financial Management Advisor, and has received the designation of Fellowship from the Canadian Securities Institute.

Frank Work, Q.C.

Frank Work was born in Calgary. He attended the Universities of Calgary and Alberta, obtaining a Bachelors Degree in Political Science and a Master's Degree in Environmental Design, and later obtaining a law degree from McGill University.

Since the mid 1980's, he worked for the Attorney General of Bermuda, the United Nations Environmental Program, as well as a consultant to the World Bank in the area of environmental law. Later he was Senior Parliamentary Counsel to the Legislative Assembly of Alberta and counsel to the Ethics Commissioner. In 1995, he went to the Office of the Information and Privacy Commissioner of Alberta as General Counsel, later becoming the Commissioner in 2001 where he held the office for two terms until 2012. Following that he was Senior Vice President – Privacy and Policy for eHealth Ontario.

Currently he consults in the areas of information and privacy, organizational ethics and accountability.

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."*