

Conduct, Compliance and Legal Advisory Section (CCLS) Education Sub-Committee 2023 Annual Conference

Speaker Biographies

10:55 am Breakout Session:
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Christina Soares

Chief Compliance Officer & Head of Business Integrity, Aligned Capital Partners Inc.

Christina truly believes that collaborative risk management helps foster a strong culture of integrity across an organization. She actively seeks to understand the business of advisors and ensures that compliance solutions are tailored and communicated in a way that solves problems, builds trust, and provides for positive investor outcomes.

As Chief Compliance Officer & Head of Business Integrity for the firm, Christina is responsible for leading and promoting ACPI's compliance with securities rules and regulations and firm policies and procedures.

With over 15 years of direct experience working in a compliance environment, she is skilled at leading a team of compliance professionals, navigating regulatory reforms, transforming compliance business processes, assisting investment dealers and advisors in meeting compliance obligations, and protecting the business from regulatory risk.



Brian Pynn

Chief Compliance Officer, ATB Securities Inc.

Brian is a 30-year veteran of the Canadian capital markets, getting his industry start with the Vancouver Stock Exchange in the early 90's. He served as both a public relations officer and a trading surveillance officer for several years before joining the street as an equity trader. After a successful period trading, and assisting his firm with regulatory issues arising from Bre-X and Dot-Com collapses, he became a full-time compliance manager and eventually VP Trading Compliance for a large independent CIRO member.

He has been with ATB Securities Inc. since 2010 and Chief Compliance Officer since 2012. He is a member of the CIRO Alberta Regional Council and has served as both a volunteer and presenter with the CCLS Education Sub-Committee since 2014.



Cas Litwin

CCO, IPC Investment Corporation

In his current role as Chief Compliance Officer for IPC Investment Corporation, Cas is responsible for ensuring IPC meets its regulatory obligations and assisting with oversight of risk management across the firm. He has 27 years of industry experience in financial services, including direct regulatory experience as a Senior Compliance Officer at the MFDA. Over the last 12 years, Cas has held senior compliance roles at several large national mutual fund dealers, where he was tasked with implementing sound supervisory platforms and compliance controls, while helping firms effectively manage regulatory risk. Cas holds a BA in Math for Commerce from York University, sits on the MFDA's Central Regional Council and IFIC's Legal and Compliance Issues Working Group, and is a member of the Association of Canadian Compliance Professionals and the Federation of Mutual Fund Dealers.



Sean Shore

Securities, Compliance and Regulatory Counsel, Canadian Compliance & Regulatory Law

Sean is a graduate of the University of Manitoba's Faculty of Law (LL.B., 1993) and the London School of Economics (LL.M., 1994) and has been practicing law in Winnipeg since 1995. He was previously the Chief Compliance Officer for the Wellington West Group of Companies (including both its IIROC and MFDA dealers) prior to its sale to National Bank Financial Ltd. ("NBF") in 2011. Following the Wellington West acquisition, he accepted a position with NBF and was responsible for the retail trade supervision of all retail investment advisors residing outside the province of Quebec. Prior to working at Wellington West, Sean worked as a Director and Legal Counsel for a national MFDA dealer.