

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

2:00 pm Breakout Session:

**Challenges of Recruiting, Training and
Monitoring Compliance Staff In The Work From
Anywhere Environment**

Speaker Biographies



Leo Purcell

President & CEO, Comarm Solutions

Leo is the founder of Comarm Solutions, a compliance and regulatory consulting firm for the Canadian investment industry. Comarm is a small team of highly experienced compliance and finance professionals.

Leo has over thirty years of industry experience, including previous roles as Chief Compliance Officer, Chief Privacy Officer, and Chief Anti-Money Laundering Officer, and he also worked as a regulatory examiner many years ago. His compliance and regulatory experience encompasses wealth management and capital markets, with both large and small investment firms. Leo has presented to the industry, including this group, on a number of topics and has actively participated in various working groups.



Wayne Bolton

Principal, Compliance

Wayne Bolton is an Edward Jones principal and is responsible for the Compliance and Supervision division for Edward Jones in Canada.

Wayne has extensive compliance experience, which includes working with Invesco's North America Distributor Compliance area, where he led the compliance departments of three business units in North America. He also served as Invesco's vice president and chief compliance officer in Canada, with overall responsibility for the compliance program for Invesco Canada. Prior to Invesco, Wayne served as the vice president, Compliance for the Wealth Management division at CIBC.



Jeff Freeborough

CCO, IPC Investment Corporation

Jeff Freeborough is the managing partner of Caldwell's Toronto office and is a member of the firm's leader team. He leads the Canadian Financial Services practice and is also an active member of the Professional Services, Data, Digital and Technology and Legal, Risk and Regulatory Oversight practice teams. Jeff advises clients on search strategy and leads executive level mandates to bring game-changing leaders to their organizations. He specializes in building management teams and boards of directors with an emphasis on transformation - specifically surrounding growth, scale-up, ownership transition, financing/capitalization, transaction, restructuring and culture shift.

Prior to executive search, Jeff spent several years as a consultant in the US and Canada specializing in business and digital strategy, and also worked for a number of early-stage companies in various management roles.

Jeff attended Babson College in Massachusetts and earned a Master of Business Administration degree with a focus on finance and entrepreneurship. He holds a Bachelor of Arts in economics from Western University.

Jeff is an active volunteer board member of Bay Street Fore a Cause and has been a fundraiser for Covenant House Toronto, Canada's largest shelter for homeless youth. He also sits on the board of Daytrippers Children's charity which funds school field trips nationally for underprivileged children.



Neal Weston

Independent ...

Neal specializes in closing the gaps between unprecedented regulatory change, financial markets demands and compliance priorities to make strategic risk-based solutions work in the financial industry.

Over the past 15 years he has worked on numerous securities and banking industry groups, hosted dozens of educational events within the industry and worked with the top tier banks in the world. Neal focuses on addressing regulatory developments impacting

Conflicts of Interest, Suitability, Disputes and Complaints Management, OTC Derivatives, Anti-Money Laundering, Sanctions Management, and Regulatory Risk Management.

He also led an enterprise compliance program implementation new and enhanced Monitoring and Trade Surveillance practices, that was comprised of both rules based and pattern-based market manipulation surveillance methodologies for all products.

Most recently Neal led Mutual Fund advice channels through Client Focused Reforms implementations.