

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

Speaker Biographies

9:40 am Breakout Session:
Client Focused Reforms – The Saga Continues
... When Clients Go Off Script



Nick Cardinale

Chief Compliance Officer, RBC Wealth Management Canada and RBC Dominion Securities Canada Inc. (Wealth Management)

Nick 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, Nick was in-house legal counsel in the financial services industry and commenced his career as a commercial litigation lawyer.



Laura Paglia

President and CEO, Investment Industry Association of Canada (IIAC)

Laura became President & CEO of the IIAC in August 2021 following approximately 24 years of private practice as a securities litigator. In private practice, she represented a broad range of participants in the financial services and capital markets industries. These included investment dealers, carrying and introducing brokers, exempt market dealers, investment fund managers and their individual employees in regulatory, business, and civil matters. Laura has continued to address topical and emerging industry issues through leadership of the IIAC. The IIAC is an advocate for investment firms, including CIRO dealers, aimed at proportionate regulation for a complaint, healthy and growing Canadian market. Laura was called to the Bar of Ontario in 1997. She obtained an LLB from Osgoode Hall Law School in 1994 and an LLM from Osgoode Hall Law School in 2014.



Charles Toth

Vice President, Enforcement MFD, CIRO

Charles was the Vice-President, Enforcement with the Mutual Fund Dealers Association of Canada (MFDA) and previously its Managing Director, Litigation. He joined the MFDA in 2008. Prior to joining the MFDA, Charles was an associate in the litigation department of Fasken Martineau DuMoulin LLP. At Faskens, Charles' practice included securities, commercial disputes, professional regulation, administrative law, class actions, product liability, regulatory and criminal. He has appeared before the Supreme Court of Canada, Ontario Court of Appeal, Divisional Court, Superior Court of Justice, Ontario Court of Justice, and administrative tribunals, in both trial and appellate proceedings. Charles graduated from Osgoode Hall Law School in 2003.



Gillian Dingle

Partner, Torys LLP

Gillian is the practice group leader for Torys' litigation department and co-head of the firm's securities defence practice. Her practice focuses on securities litigation and corporate disputes. On the securities side of her practice, Gillian frequently acts for capital market participants in securities class actions, professional liability claims and regulatory investigations involving the Canadian Investment Regulatory Organization and the Ontario Securities Commission. As a complement to her securities regulatory work, she advises financial institutions on investigations involving consumer protection matters.