December 4th, 2017-Conduct, Compliance and Legal Advisory Section (CCLS) Conference

NEW VENUE - The Royal York Hotel, Canadian Room, 100 Front St W, Toronto, ON

7:30 am – 8:00 am	**Registration and Continental Breakfast**	
8:00 am – 8:10 am	**WELCOME AND INTRODUCTION** *Kelley Hoffer* Chair, CCLS Executive	
8:10 am – 8:25 am	**IIROC PRIORITIES** *Andrew J. Kriegler*, President & CEO, IIROC	
8:25 am – 9:15 am	**KEYNOTE SPEAKER** *Som Seif*, Chief Executive Officer, Purpose Investments Inc.	
9:15 am – 9:25 pm	**Coffee / Tea Opportunity**	
9:25 am –10:25 am	**Online Advisory Service Evolution & Opportunities** *Randy Cass*, CEO, Nest Wealth *Chris Jepson*, Senior Legal Counsel, Compliance & Registration Regulation, OSC *Silvio Stroescu*, President, BMO InvestorLine Inc. *David Wright*, Senior Legal Counsel, Business Conduct Compliance, IIROC	**Client Identifier** *Jeremy Devereux*, Partner, Norton Rose Fulbright LLP *Sonali GuptaBhaya*, Director, Market Regulation Policy, IIROC *Kevin Sampson*, Managing Director, Trading, Equity Capital Markets, TMX Group
10:25 am – 10:40 am	**Break and Refreshments**	
10:40 am – 11:40 am	**Risk Rating** *Barb Amsden*, Principal, PQbd *Mark Bayko* Head, Portfolio Management, RBC Dominion Securities *Chantal Leclerc*, Senior Policy Advisor, Autorité des marchés financiers	**UMIR 7.1 Supervision** *Torstein Braaten*, CCO, BMO Capital Markets *Sonali GuptaBhaya*, Director, Market Regulation Policy, IIROC *Murray Lund*, Director, Trading Conduct Compliance, IIROC
11:40 am – 12:35 pm	**Lunch Break**	
12:35 pm – 1:00 pm	**Keynote** *Kevan Cowan* CEO, Capital Markets Authority Implementation Organization (CMAIO)	
1:05 pm – 2:05 pm	**Rapid Fire Panel** Moderated by : *Leo Purcell*, President & CEO, Comarm Solutions Inc. *William Donegan*, Manulife Financial *Michael Smith*, National Bank *Alexandra Williams*, Chief Compliance & Chief Risk Officer, Qtrade Securities Inc.	
2:05 pm – 3:05 pm	**Fee-Based Sweeps** *Sandra Blake*, Vice –President, Business Conduct Compliance, IIROC *Nick Cardinale*, CCO, RBC DS Wealth *Brett Kimak* Chief Risk Officer & Head of Compliance, ATB Investor Services	**Inside Information** Moderated by *David Hausman*, Partner, Fasken Martineau *Charles Corlett*, Director, Enforcement Litigation, IIROC *Iva Vranic*, Director Compliance, Control Room,Scotiabank
3:05 pm – 3:20 pm	**Break and Refreshments- Häagen-Dazs**	
3:20 pm – 4:20 pm	**Keynote** *Jamie Golombek*, Managing Director, Tax and Estate Planning, CIBC	
4:20 pm – 4:30 pm	CLOSING REMARKS & PRIZE DRAWINGS *Shailesh Ambike & Joy Allen*, Co-Chairs, CCLS Education Sub-Committee	

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Your 2017 Annual Conference Breakout session choices include:

Online Advisory Service Evolution & Opportunities

Regulatory and Industry experts will provide their insights into how the digital space is transforming the way some investors are moving away from the traditional investment approaches and into online investment management options. This session will also explore the rapid growth in the robo-advisory business, technological advancement and regulatory change.

Or

Client Identifier

To enhance market integrity and investor protection, IIROC published proposed amendments that would require client identifiers on each order sent to a marketplace as well as each reportable trade in a debt security.

This session will educate stakeholders and explore potential industry impacts that touch upon the broker dealer, marketplace and clients from a regulatory perspective

Risk Rating

Our expert panel will begin the discussion on the history of industry risk ratings and then focus on the current state from the CSA and industry perspective. Legal and Compliance issues relating to tips and pitfalls to investor loss litigation when using ratings rating systems and services will be explored.

Or

UMIR 7.1 Supervision

Trading supervision is evolving to a risk based approach. This panel will discuss the amendments made to UMIR 7.1 and 7.13, IIROC's approach to their trading conduct examinations and the challenges faced by the firm's compliance departments.

Fee-Based Sweep

Are you ready for a fee-based sweep of your firm? Emerge from this panel discussion with a solid understanding of both the regulators' and your clients' concerns about the possible conflicts surrounding fee-based accounts, and some practical methods to detect and deter situations where a managed solution might be considered contrary to the best interest of your client.

Or

Insider Information

Case Study Analysis – Our panel will walk through recent and relevant cases dealing with inside information (also known as MNPI – material non-public information).

This interactive session will be an open dialog case format which will test the attendee's ability to navigate and analysis real life scenarios.

Rapid Fire Panel

This session will explore a series of 7 - 10 questions across 3 different types of IIROC member firms. The Moderator will ask the same questions to each of the three panelist, eliciting a response that reflects their dealer's size and scope. Each Panelist will have a maximum of 2 minutes to respond, thus enabling 7 - 10 questions and 20 + responses in total. In an industry governed by Principle Based Compliance, members of the audience will gain perspective on the different ways these firms incorporate technology, implement processes, and deal with regulatory issues given their varying size, scope and financial means.

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