

Toronto Regulatory & Compliance Forum

Thursday, September 19th, 2019
Toronto Region Board of Trade
77 Adelaide Street West, 4th Floor



Agenda

8:00 AM **Registration and Breakfast**

8:30 AM **Welcome & Opening Remarks**



Co-hosts:

Jasmin Jabri, Chief Compliance Officer, Invesco Canada Ltd

Warren Rudick, General Counsel, Manulife Investment Management

8:45 AM **Regulatory Roundtable**

Regulatory representatives from the ASC, AMF, and OSC will discuss current consultations, regulatory and audit findings, and priorities of note to firms.



Moderator:

Laura Paglia, Partner, Borden Ladner Gervais LLP

Panelists:

Debra Foubert, Director, Compliance and Registrant Regulation, Ontario Securities Commission (OSC)

Martin Picard, Analyste à la réglementation, Autorité des marchés financiers (AMF)

Lynn Tsutsumi, Director, Market Regulation, Alberta Securities Commission (ASC)

10:15 AM **Networking Break**

10:45 AM **Privacy in the Digital Age**

Everyone says 'data is the new oil' - but are you treating that asset with the respect it deserves? Changes in regulations and expectations will impact your privacy practices, not just now, but on an ongoing basis. Learn what will be driving you to adapt your organization's privacy strategy to meet the challenges of the information age.



Constantine Karbaliotis, Director, CyberSecurity & Privacy, PricewaterhouseCoopers LLP

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11:45 PM **Lunch Break**

12:45 PM **Luncheon Keynote - US Regulatory Update**

Lawyers David Tittsworth & Robert Skinner from the U.S. firm Ropes & Gray LLP will share their views on the impact and significance of recent U.S. regulatory and political developments. David and Robert will also provide some lighter commentary in a format rarely seen at compliance events!



Robert Skinner, Partner, Litigation and Enforcement, Ropes & Gray LLP

David Tittsworth, Counsel, Compliance and Regulatory Counsel, Canadian Compliance & Regulatory Law, Ropes & Gray LLP

2:00 PM **Networking Break**

2:15 PM **Insider Scoop**

David Hausman, Partner, Fasken Martineau DuMoulin LLP will provide an engaging commentary on market manipulation, insider trading and investor fraud.



3:15 PM **Networking Break**

3:45 PM **Break Out Session 1**

Private Client Hot Topics

Join your peers in a discussion on the most topical issues facing private client firms. This session will focus on practical advice in the rapidly changing technology, regulatory and investor landscape.



Panelists:

Adam Beach, Vice President, Chief Compliance Officer and Operations Manager, Evans Investment Counsel

Richard Roskies, Senior Legal Counsel, AUM Law

3:45 PM **Break Out Session 2**

Institutional Hot Topics

This panel will focus on the unique compliance challenges and opportunities facing institutional firms. The session will touch on trading policies and practices, client disclosure/transparency, recent tax matters, best execution and sales practice.



Moderator:

Margaret Gunawan, Managing Director, General Counsel & Chief Compliance Officer
BlackRock Asset Management Canada Limited

Panelists:

John Fabello, Partner, Torys LLP

Joseph Micallef, Partner, National Financial Services Industry Tax Leader & National Asset Management Tax Leader, KPMG LLP

Jacqueline Sanz, Chief Compliance Officer, Caldwell Investment Management Ltd.

4:45 PM **Cocktail Reception**

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