

Toronto Regulatory & Compliance Forum

Thursday, September 19th, 2019
Toronto Region Board of Trade
4th Floor, Lennox Hall



Agenda

8:00 AM **Registration and Breakfast**

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



Co-hosts:

Jasmin Jabri, Chief Compliance Officer, Head of Compliance – Canada, Invesco Canada

Warren Rudick, Chief Counsel, GWAM Distribution Law & Institutional – Canada & Europe,
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, Policy Advisor, Supervision of Intermediaries, 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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12:00 PM **Lunch Break**

12:45 PM **Luncheon Keynote – U.S. Regulatory Update**

Lawyers **Robert Skinner** & **David Tittsworth** 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!



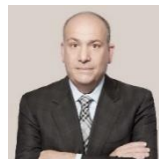
Robert Skinner, Partner, Litigation and Enforcement Group, Ropes & Gray LLP

David Tittsworth, Counsel, Ropes & Gray LLP

2:00 PM **Networking Break**

2:15 PM **Insider Scoop**

David Hausman will provide an engaging commentary on market manipulation, insider trading and investor fraud.



David Hausman, Partner, Fasken Martineau DuMoulin LLP

3:15 PM **Networking Break**

3:45 PM **Break Out Session 1 – KOMB Room**

Private Client Hot Topics

Client communications are increasingly becoming the industry's top concern. Panelists will share practical advice on how to communicate with clients as they tackle many of the most pressing topics facing private client firms. The session will cover everything from client onboarding (including KYC and AML) to client reporting and the role of technology in improving your client interactions.



Panelists:

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

Tushar Pai, Vice President, Chief Compliance Officer, Stonegate Private Counsel LP

Richard Roskies, Senior Legal Counsel, AUM Law

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3:45 PM

Break Out Session 2 – Lennox Hall

Institutional Hot Topics

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



Moderator:

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

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

4:45 PM

Cocktail Reception

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