

Agenda

EventMobi details will be provided to registered attendees.

1:00 – 1:15 PM **Welcome & Opening Remarks**

Event Hosts:

Angela Nikolakakos, CCO, General Counsel & Corporate Secretary | Fiera Capital Corporation
Kenny Tang, CCO & ESG Leader | Trans-Canada Capital Inc.



1:15 – 2:15 PM **Regulatory Update**

Senior staff from securities commissions across Canada will discuss the latest regulatory news for registrants on issues ranging from COVID-19 relief to recent audit findings and up-coming proposals.

Moderator:

Scott Mahaffy, Vice President & Assistant General Counsel | MFS Investment Management Canada Ltd.

Panelists:

David Cheop, Chair and Chief Executive Officer | Manitoba Securities Commission
Debra Foubert, Director, Compliance and Registrant Regulation | Ontario Securities Commission
Louise Gauthier, Senior Director of Distribution Policy | Autorité des marchés financiers
Michael Tracey, Senior Advisor, Behavioural Insights | Ontario Securities Commission
Mark Wang, Director, Capital Markets Regulation | British Columbia Securities Commission



2:15 – 2:30 PM **Sponsor Break**

2:30 – 3:30 PM **Concurrent Session #1: What to do when a client is incapacitated or has passed away**

This session is designed to help firms navigate the difficult situation of having an incapacitated or deceased client and will canvass a variety of considerations and procedures for firms.

Moderator:

Garth Foster, Partner | Fasken Martineau DuMoulin LLP

Panelists:

Michelle Dion, Notary | Borden Ladner Gervais LLP (Quebec)

Elena Hoffstein, Lawyer | Miller Thomson LLP (Ontario)

Rhonda Johnson, Partner | Duncan Craig LLP (Alberta and British Columbia)



2:30 – 3:30 PM **Concurrent Session #2: Institutional/International Firms: Cross-border business: compliance considerations**

This session will provide an overview of the regulatory landscape in two hot-topic areas of cross-border compliance:

- *Cross-border marketing into Europe – Of interest to firms with investors in Europe, this part will provide an overview of the not-so harmonized regime, including practical scenarios and how they differ across the region, plus a brief summary of recent changes.*
- *Beneficial ownership reporting – The shareholding disclosure rules and notification process for firms investing in equities is complex and ever-changing. This section will provide an overview of the challenges that arise in major position reporting and short selling, including a look at recent legal changes and regulatory trends.*

Speakers:

Serena McMullen, Senior Associate | aosphere LLP (an affiliate of Allen & Overy LLP)

Claire Mousley, Senior Associate | aosphere LLP



3:30 – 3:45 PM Sponsor Break

3:45 – 4:45 PM Trilogy of Case Studies – Emerging Trends & Issues for Registrants

Case Study 1: Horizons case – Duty of care considerations

Speakers:

Jennie Baek, Partner | McMillan LLP

Leila Rafi, Partner | McMillan LLP



Case Study 2: Identifying and Managing Class Action Risk

Speakers:

Shane D'Souza, Partner | McCarthy Tétrault LLP

Sean Sadler, Partner | McCarthy Tétrault LLP



Case Study 3: CSA Regulates its First Digital Asset Trading Platform: Wealthsimple Digital Assets

Speaker:

Lori Stein, Partner | Osler, Hoskin & Harcourt LLP



4:45 PM ET Closing Remarks

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