



Spring Regulatory & Compliance Webcast

Wednesday, May 12th, 2021
11:00 AM – 4:45 PM ET

11:00 AM – 12:00 PM ET Pre-event Meet & Greet – details to be finalized

12:00 – 1:00 PM ET Infinite Investment Systems Lounge – Meet with our Lead Sponsor!



Co-hosts:



- **Loretta Carbonelli**, Chief Compliance Officer, CWB Wealth Management & Canadian Western Financial
- **Novlette Simpson**, Chief Compliance Officer & Chief Operating Officer, Logan Wealth Management

1:00 PM – 2:15 PM ET Regulatory Roundtable

An in-depth conversation with senior staff from the AMF, ASC, BCSC and the OSC. This session will cover issues such as recent regulatory developments, take-aways from audits and sweeps, and expectations for the year ahead as part of a discussion with moderator, Susan Han.



Moderator: Susan Han, Partner, WeirFoulds LLP

Panelists:

- **Frederic Belleau**, Senior Director, Investment Funds, Autorité des marchés financiers (AMF) (not pictured)
- **Elizabeth Topp**, Manager, Portfolio Manager Team, Ontario Securities Commission (OSC)
- **Lynn Tsutsumi**, Director, Market Regulation, Alberta Securities Commission (ASC)
- **Mark Wang**, Director, Capital Markets Regulation, British Columbia Securities Commission (BCSC)

2:15 PM – 2:30 PM ET **Break and Sponsor Booth Viewings**

2:30 – 3:30 PM ET **Concurrent Sessions** (choose from the 2 sessions below)

Concurrent Session 1: Getting Started with ESG Investing

ESG investing is on everyone's radar. What are the practical considerations when getting started with implementing ESG strategies for clients or creating an ESG fund? This session, moderated by Paul Harris of Harris Douglas with speakers Jennie Baek and Ravipal Bains of McMillan LLP, will guide participants through the process of incorporating ESG factors into the investment process, and answer participant questions.



Moderator: Paul Harris, Partner & Portfolio Manager, Harris Douglas Asset Management

Jennie Baek, Partner, McMillan LLP

Ravipal Bains, Associate, Capital Markets & Securities, McMillan LLP

Concurrent Session 2: How to Prepare for a FINTRAC & CSA Compliance Audit

This session will discuss how to prepare for, and what to expect from, a FINTRAC audit. There will be a discussion of the core aspects of AML/ATF compliance, common pitfalls, recent FINTRAC audit experience and considerations relating to the current remote work environment.



Richard Roskies, Senior Legal Counsel, AUM Law

Chris Tooley, Legal Counsel, AUM Law

3:30 – 3:45 PM ET **Break and Sponsor Booth Viewings**

3:45 – 4:45 PM ET **CCO Fireside Chat on Compliance Challenges Today**

A moderated fireside chat with some Chief Compliance Officers of PMAC firms. What were the highs and lows of 2020? What are your priorities for 2021 and beyond? Join a panel of your peers as they discuss the year in review and the compliance challenges that have been “keeping them up at night”.



Moderator: Rebecca Cowdery, Partner, Borden Ladner Gervais LLP

Stay tuned for our panelist announcements.

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