

Spring Regulatory & Compliance Webcast



Wednesday, May 12, 2021

11:00 AM – 1:00 PM ET Pre-event Sponsor Booth Viewings

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



1:00 PM ET

Welcome



Co-hosts:

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

1:05 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:

- **Frédéric 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 panel 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, CSA and FINTRAC audits. There will be a discussion of the core aspects of regulatory compliance, common pitfalls, recent 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

A moderated fireside chat with Chief Compliance Officers of PMAC firms. What were the highs and lows of 2020? What are the 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
David Doumani, Head of Risk and Compliance & Chief Compliance Officer, Presima
Danielle Skipp, SVP Corporate Development & Chief Legal Officer, Nicola Wealth
Bryan Tamblyn, Chief Compliance Officer & Chief AML Officer, Cidel Asset Management

4:45 PM ET

Concluding Remarks

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