

Fall Regulatory & Compliance Webcast



Thursday, October 21, 2021

12:00 – 1:00 PM ET

Infinite Investment Systems Lounge – Meet with our Lead Sponsor!



1:00 PM ET

Welcome



Co-hosts:

Shalomi Abraham, Senior Vice President, Head of Legal – Canada, *Invesco*
Alana Dubinski, Principal & Chief Compliance Officer, *LifeWorks Investment 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 moderated by, Élise Renaud.



Moderator: Élise Renaud, Partner, *Fasken Martineau DuMoulin LLP*

Panelists:

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

Louise Gauthier, Directrice principale des politiques d'encadrement de la distribution, *Autorité des marchés financiers (AMF)*

Janice Leung, Manager, Adviser and Investment Fund Manager Compliance Team, *British Columbia Securities Commission (BCSC)*

Matias Pendola, Team Lead, Registrant Oversight, *Alberta Securities Commission (ASC)*

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: Back to School Report Card

A moderated discussion on how firms can get an “A+” in compliance by improving their policies and practices. Learn about common pitfalls and leave with valuable take-aways applicable to your firm. Discussions will cover topics relating to the BCSC and OSC annual reports, compliance with existing securities law rules, new developments to be aware of, and more.



Moderator: Jennifer Snyder, President & CCO, *Doyenne Financial Ltd.*

Don Campbell, Compliance and Regulatory Counsel, *Canadian Compliance & Regulatory Law*

Vipool Desai, President, *Ara Compliance Support*

Kathy Ferguson, Senior Principal Regulatory Consultant, *SGD Compliance* [not pictured]

Concurrent Session 2: What's happening at the U.S. Securities and Exchange Commission?

This session will explore the recent and relevant developments south of the border. Moderated by Gail Bernstein, General Counsel at the Investment Advisors Association (IAA), based in Washington D.C., this discussion will include an update on current issues and trends in the U.S. of particular interest to cross-registered firms.



Moderator: Gail Bernstein, General Counsel, *Investment Advisors Association (IAA)*

Karl Egbert, Partner, Global Private Funds Practice, *Baker & McKenzie LLP*

Gregory Rosta, Director, Head of Americas Regulatory Engagement and Development, *BlackRock*

3:30 – 3:45 PM ET

Break and Sponsor Booth Viewings

3:45 – 4:45 PM ET

CCO Fireside Chat

Join a panel of your peers as they discuss their top compliance and other challenges and priorities for the next 6-12 months. Learn what your peers are doing today to prepare for tomorrow.



Moderator: Katie Walmsley, President, *Portfolio Management Association of Canada (PMAC)*

Catrina Duong, Chief Compliance Officer, *Picton Mahoney Asset Management*

Cathy Lin, Chief Compliance Officer, Legal, Compliance, *Burgundy Asset Management*

Richard Roskies, Senior Legal Counsel, *AUM Law*

4:45 PM ET

Concluding Remarks

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