



# Toronto Regulatory & Compliance Forum 2022

10:00 – 11:00 AM ET

Registration and Sponsor Plenary Welcome

11:00 AM ET

Welcome

Co-Hosts:



**Mostafa Ali**  
Operations and Compliance Manager  
*The Murray Wealth Group*



**Victoria Kwan**  
Chief Compliance Officer  
*Sunlife Capital Management Canada*

11:05 AM – 12:15 PM ET

Regulatory Roundtable

*An in-depth conversation with senior staff from the AMF, ASC, and the BCSC. 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, Geoff Ritchie.*



**Geoffrey Ritchie**  
General Counsel & CCO  
*Mawer Investment Management*



**Louise Gauthier**  
Senior Director, Distribution Policies  
*Autorité des marchés financiers*



**Bonnie Kuhn**  
Senior Legal Counsel, Market Regulation  
*Alberta Securities Commission*



**Mark Wang**  
Director, Capital Markets Regulation  
*British Columbia Securities Commission*

12:15 PM – 1:00 PM ET

Lunch Break

1:00 – 1:45 PM ET

*Cultural Trends and how they shape the future*



**Derek Thompson**  
Journalist & Speaker  
*The Atlantic*

*How is technology changing the future? What are the economic forces shaping the cultural market? And how does the media manipulate our most valuable resource—our attention—in the twenty-first century? These are the questions that Derek Thompson, staff writer at *The Atlantic*, author of national bestseller *Hitmakers*, and host of the podcast *Plain English*, explores in his captivating, award-winning work. Coupling his dry wit and journalistic insight, Thompson interprets the invisible factors that capture attention, impact consumer spending, and influence business.*

1:45 – 2:00 PM ET

Break and Sponsor Booth Viewings

2:00 – 3:00 PM ET

**Concurrent Session #1: Institutional Client Hot Topics**

Panelists from PMAC law firm affiliates will share practical advice on some of the unique compliance challenges facing institutional firms. This interactive discussion will include hypothetical case studies, regulation/rule review and explore important topics such as conflicts of interest, ESG, KYP, KYC and more. The session will be moderated by Afshan Ali and will end with a Q&A session.



**Afshan Ali**  
VP,  
Commercial  
Banking &  
Wealth  
Management  
Compliance  
CIBC



**John Kruk**  
Partner  
Fasken  
Martineau  
DuMoulin LLP



**Kristen Pennington**  
Partner  
McMillan LLP

2:00 – 3:00 PM ET

**Concurrent Session #2: Private Client Hot Topics**

This session will help firms navigate some of the key compliance challenges facing private client firms. Panelists from PMAC law firm affiliates will review the current regulation and explore implementation challenges through hypothetical case studies covering marketing practices/benchmarking, conflicts of interest, KYC/suitability and more, followed by a Q&A session.



**Adam Beach**  
VP, CCO &  
Operations  
Manager  
Evans  
Investment  
Counsel



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



**Susan Han**  
Partner  
WeirFoulds LLP

3:00 – 3:15 PM ET

Break and Sponsor Booth Viewings

3:15 – 4:15 PM ET

**Disclosure Dilemma – Balancing the Regulatory Requirements with Investor Key Information Needs**

A provocative conversation about the tension between disclosure requirements and what behavioural economics teaches us constitutes effective disclosure. From revamped conflicts of interest and RDI disclosure to the Total Cost Reporting proposals, effective disclosure is critical to your client relationships and regulatory compliance.



**Denys Calvin**  
VP, COO  
Nexus Investment  
Management



**Michelle Hilscher,**  
VP, Strategy  
BEworks



**David Lewis,**  
President of  
Research Institute  
BEworks

4:15 PM ET

Concluding Remarks

4:20 – 6:00 PM ET

Reception

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