

8:00 AM – 9:00 AM Registration and Sponsor Welcome

9:00 AM – 9:15 AM Welcome

Co-Hosts:



Denise Carson
Chief Compliance Officer
BMO Asset Management Inc.
& BMO Investments Inc.



Karen Mintz
Vice President, Chief
Compliance Officer &
Associate General Counsel
Burgundy Asset Management

9:15 AM – 10:30 AM Regulatory Panel

Start the day with a candid discussion about the most pressing regulatory issues, findings, and proposals for 2023. Find out which priorities the Quebec, Manitoba and Ontario securities commissions want portfolio managers to focus on. Learn about Total Cost Reporting, Client Focused Reforms findings, amendments to the registration regime, ESG disclosure, and more. This session will conclude with time for audience Q&A, allowing you to hear directly from the regulators.

**Moderated
by:**



Leila Rafi
Partner
McMillan LLP



Line de Villers
Examiner
Autorité des marchés financiers



David Cheop
Chair & CEO
Manitoba Securities Commission



Chris Jepson
Senior Legal Counsel
Ontario Securities Commission

10:30 AM – 10:45 AM Break and Sponsor Booth Viewings

10:45 AM – 12:00 PM Compliance Hot Topics

Compliance experts and legal counsel will explore current hot button topics for portfolio managers. Obtain practical advice on the issues that matter and find out what steps you can take to address them.

**Moderated
by:**



Novlette Simpson
Chief Compliance Officer
Logan Wealth Management



Michael Holder
Managing Director and CEO
North Star Compliance &
Regulatory Solutions Inc



Nancy Mehrad
Founder, CEO, Securities Lawyer
Registrant Law



Chris Tooley
Senior Legal Counsel
AUM Law

12:00 PM – 1:20 PM

Lunch Break - The EQ Leader in Industry 4.0



Jamelle Lindo

Emotional Intelligence Leadership Coach
Forbes Coaches Counsel

We are living in the midst of the greatest digital proliferation in history which has come to be known as Industry 4.0. This comprehensive talk by Jamelle Lindo explores why emotional intelligence is becoming the single most valuable leadership and workplace skill today and as we move in the future. Jamelle brings forward the latest research to validate what business leaders and professionals can do to position themselves for success in the midst of today's incredibly demanding and evolving digital world.

1:20 PM – 1:30 PM

Break and Sponsor Booth Viewings

1:30 PM – 2:45 PM

AUM/Topic Based Roundtables

Which pressing issues, opportunities and challenges are you facing? Select one of three concurrent breakout sessions where you can discuss these with like-minded peers. Each session will be led by a seasoned compliance professional to facilitate discussions around topics such as training, conflicts of interest, registration hurdles and updates, ESG, etc.

2:45 PM – 3:15 PM

Break and Sponsor Booth Viewings

3:15 PM – 4:30 PM

Market Trends & Emerging Expectations of Institutional & Private Clients

Client needs continue to evolve as both private and institutional investors adapt to market volatility, inflation risk, and other key issues facing investors. Hear about the latest institutional client research on factors influencing manager selection, changes in asset allocation, and factors beyond investment performance that are important to pension plans and other institutional clients. On the private client side, hear opportunities to improve client communication and reporting through behavioural insights. The session will end with a moderated question and answer period.

**Moderated
by:**



Lorraine Lynds
Partner

Osler, Hoskin & Harcourt LLP



Alasdair Philip

Senior Relationship Manager- North America
Coalition Greenwich



Meera Paleja

Program Head, Investor Research and Behavioural
Insights
Ontario Securities Commission

4:30 PM – 6:30 PM

Concluding Remarks & Networking