



# PMAC Montréal Regulatory & Compliance Forum 2024

September 19, 2024

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

9:00 AM Welcome

Co-Hosts:



**Jacques-Alexandre Caussignac**  
Clear Skies Investment  
Management  
Director | CCO



**Nicolas D'Auteuil-Bédard**  
RBC PH&N Investment  
Counsel  
Regional Director,  
Governance

9:15 AM – 10:30 AM Compliance Hot Topics

Compliance experts and legal counsel will examine critical issues for portfolio managers. Gain practical insights into key concerns and discover actionable steps to address them. Topics will cover CFRs (Conflicts of Interest), ongoing KYP/KYC and suitability sweeps, and the role of technology solutions in strengthening your compliance program.

Moderator



**Sonia Struthers**  
McCarthy Tétrault  
Partner



**Helen Barfurth**  
Helen Barfurth Consulting Inc.  
Compliance Consultant



**Christian Faribault**  
Borden Ladner Gervais  
Partner



**Edith Rathé**  
Intact Investment Management  
CCO | Director of Governance

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

10:45 AM – 12:00 PM Challenges and Solutions: Guidance on Privacy Legislation in Quebec and Beyond

Learn from expert advisors and hear from your peers on how to approach critical privacy issues, including the collection, use and storage of personal information for both clients and employees. Panelists will discuss considerations and best practices for complying with your obligations under Québec's privacy legislation, other relevant provincial statutes and PIPEDA.

Moderator



**Julie Uzan-Naulin**  
Fasken Martineau DuMoulin  
Partner



**Jean-Francois De Rico**  
KPMG  
Partner, Risk Consulting,  
Cyber security, Québec  
Leader for Privacy



**Julie Rochette**  
iA Financial Group  
CCO | Chief Privacy Officer |  
VP



**Riccardo Roméo**  
Summus Investment  
Management  
CCO | Portfolio Manager

12:00 PM – 1:45 PM

Lunch Keynote - Marc André Morel



**Marc André Morel**

*Morel Leadership International and Leader Publishing  
Founder*

1:45 PM – 2:00 PM

Break and Sponsor Booth Viewings

2:00 PM – 3:00 PM

**AUM/Topic Based Roundtables**

3:00 PM – 3:15 PM

Break and Sponsor Booth Viewings

3:15 PM – 4:30 PM

**Regulatory Update**

*End the day with the highly anticipated discussion about the most pressing regulatory issues, findings, and upcoming initiatives. Find out which priorities the Québec and Ontario securities commissions expect portfolio managers to focus on. Learn about the new Complaint handling requirements, findings from the recent Conflicts of Interest sweep, Total Cost Reporting, ESG disclosure, KYC/KYP and suitability sweeps, and more. This session will conclude with time for audience Q&A, allowing you to hear directly from the regulators*

**Moderator**



**Laure Fouin**  
*Osler, Hoskin &  
Harcourt*  
Partner



**Sahra Badrudin**  
*Autorité des marchés  
financiers*  
Senior Analyst



**Sophie Hamel**  
*Autorité des marchés  
financiers*  
Director



**Pascale Toupin**  
*Autorité des marchés  
financiers*  
Director



**Kat Szybiak**  
*Ontario Securities  
Commission*  
Senior Legal Counsel

4:30 PM – 6:30 PM

Concluding Remarks & Networking