



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 – 12:15 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

12:15 PM – 2:00 PM

Lunch Keynote - Marc André Morel



Marc André Morel

Morel Leadership International and Leader Publishing
Founder

2:00 PM – 2:15 PM

Break and Sponsor Booth Viewings

2:15 PM – 3:15 PM

AUM/Topic Based Roundtables

3:15 PM – 3:30 PM

Break and Sponsor Booth Viewings

3:30 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