

Toronto Regulatory & Compliance Forum 2025

Thursday May 29

8:00 AM – 9:00 AM

Registration and Sponsor Plenary Welcome

9:00 AM

Welcome

Co-Hosts:



Eugene Park
Vice President Compliance
Canoe Financial L.P.



Saher Kazmi
Senior Director, Chief Compliance
Officer
CIBC Asset Management

9:15 AM – 10:30 AM

CSA Regulators' Panel

Start the day with a candid discussion with senior regulators at the Manitoba, and Ontario securities commissions including what's top of mind for them, highlights from recent KYC/KYP and suitability examinations, future sweep considerations and upcoming regulatory consultations. The topics covered will include firm and individual registrations, the use of artificial intelligence, conflicts of interest, total cost reporting, independent review committees, and Canadian Securities Administrators priorities. This session will conclude with an audience Q&A, with answers directly from the regulators.

**Moderated
by:**



Scott Mahaffy
Managing Counsel
MFS Investment Management



David Cheop
Chair & CEO
Manitoba Securities Commission
Vice-Chair, CSA



Raymond Chan
Senior Vice President,
Investment Management
Ontario Securities Commission



Matthew Onyeaju
Senior Vice President |
Registration, Inspections and
Examinations
Ontario Securities Commission

10:30 AM – 10:45 AM

Break and Sponsor Booth Viewings

10:45 AM – 12:00 PM

Compliance Hot Topics

Join leading compliance experts and legal counsel as they delve into today's most pressing regulatory challenges impacting portfolio managers. This panel will offer actionable insights and practical strategies to help you navigate complex compliance landscapes with confidence. Discover what's on the horizon, how to stay ahead of evolving requirements, and what steps you can take now to mitigate risk and ensure alignment with best practices.

**Moderated
by:**



Bryan Tamblyn
Chief Compliance Officer
Cidel Asset Management



Eric Adelson
General Counsel
Leith Wheeler Investment
Counsel



Madeleine Cooper
Chief Compliance Officer
RBC



Garth Foster
Partner
Fasken Martineau
DuMoulin LLP



Melissa Ghislanzoni
Counsel
Borden Ladner Gervais
LLP

12:00 PM – 12:10 PM Break

12:10 PM – 1:30 PM **The Changing Tides of the SEC and Impact on US-registered Advisers**



Karen Barr
President & CEO
Investment Adviser
Association



Katie Walmsley
President
Portfolio Management
Association of Canada

Join Karen Barr, President and CEO of the Investment Adviser Association (IAA), for a timely discussion on the latest industry developments in the US. Will the recent appointment of Paul Atkins as the new Chair of the Securities and Exchange Commission (SEC) lead to a change in direction and focus? Are there other policy and regulatory shifts on the horizon for advisers? What's the impact on Canadian firms registered with the SEC? Katie Walmsley, PMAC President, will moderate this fireside chat and explore the changing business and regulatory landscape for US-registered advisers.

1:30 PM – 1:45 PM Break and Sponsor Booth Viewings

1:45 PM – 2:45 PM **AUM Breakout Session**

This session will provide a unique opportunity for attendees to gather with a small group of peers from like-sized firms for an in-depth discussion on issues facing your firm. Tables will be grouped by similar assets under management (AUM) and will engage in self-led discussions based on a list of suggested topics to be provided.

2:45 PM – 3:15 PM Break and Sponsor Booth Viewings

3:15 PM – 4:30 PM **Emerging Issues Panel**

In an era of rapid economic shifts and regulatory evolution, businesses and financial professionals must adapt to an increasingly complex environment. This panel brings together senior leaders in management, investment, legal, and compliance to explore the most pressing challenges and opportunities shaping the industry including geopolitics, investment strategies and KYC, KYP and suitability.

**Moderated
by:**



Geoff Grove
Chief Compliance Officer
BlackRock Canada



Kevin Minas
Institutional Portfolio Manager
Mawer Investment Management



Kim Shannon
Founder & Co-CIO
Sionna Investment Managers



Doug Krist
Global Compliance Program Office
Fiera Capital Corporation

4:30 PM – 6:30 PM Concluding Remarks & Cocktail Reception