

Toronto Regulatory & Compliance

Forum



Thursday June 11

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

Co-Hosts:



Zeeshan Mukaddam
Senior Compliance Manager
BMO Private Investment
Counsel



Ibie Green
AVP, Investment Funds and
Product Compliance
AGF Investments

Presented by:

RAYMOND JAMES
CORRESPONDENT SERVICES

9:15 AM – 10:30 AM CSA Regulators' Panel

Start the day with a candid discussion featuring senior regulators from the Ontario Securities Commission and the Autorité des marchés financiers. This session will explore their current priorities, key insights from recent KYC/KYP and suitability examinations, and perspectives on upcoming regulatory sweeps and consultations. Topics will include firm and individual registration, the use of artificial intelligence, conflicts of interest, total cost reporting, independent review committees, and more.

Moderated
by:



Margaret Gunawan
Managing Director
General Counsel,
Americas (ex US)
BlackRock



Elizabeth Topp
Associate Vice President
Investment Management
Ontario Securities Commission



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



Line de Villers
Inspector Coordinator
L'Autorité des marchés financiers

Presented by:

WELLINGTON-ALTUS
PRIVATE COUNSEL

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 for a discussion on today's most pressing regulatory challenges facing portfolio managers. This session will provide actionable insights and practical strategies to help navigate an increasingly complex compliance landscape. Gain perspective on emerging regulatory trends, how to stay ahead of evolving requirements, and the steps you can take now to mitigate risk and align with best practices.

Moderated
by:



Dan Brown
Compliance Manager
Capital International Asset
Management Inc.



Vipool Desai
President
ARA Compliance Support



Nancy Mehrad
Founder & CEO
Registrant Law



Richard Roskies
General Counsel
Prime Quadrant

Presented by:



12:00 PM – 12:10 PM Break

12:10 PM – 1:30 PM Lunch Keynote - *Rethinking Decision-Making in the Age of AI*



Michael Tracey

Director, Global Talent Strategy
Scotiabank

As regulatory expectations and technologies evolve, the role of human judgment remains central to effective oversight. This session will explore how behavioural insights can inform stronger decision-making across compliance, risk management, and governance functions. Michael Tracey will discuss common behavioural pitfalls, the influence of incentives and culture, and how firms can better align processes to support sound outcomes—while considering the growing role of AI and other tools.

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 and Industry Hot Topics**

In an era of rapid economic change and regulatory evolution, businesses and financial professionals must adapt to an increasingly complex landscape. This panel brings together senior leaders across management, investment, legal, and compliance to explore the key challenges and opportunities shaping the industry. Discussion topics will include geopolitics, investment strategies, and KYC, KYP, and suitability considerations.

Presented by:



Moderated
by:



Michiel Janssen
Chief Compliance Officer
Foundation Wealth Partners



Daanish Samadmoten
Partner
Fasken Martineau DuMoulin



Steve MacCulloch
Partner
Fort Capital Partners

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