

Vancouver Regulatory & Compliance Forum 2026

Thursday May 14



8:00 AM – 9:00 AM Registration and Sponsor Plenary Welcome
9:00 AM – 9:15 AM Welcome

Host:



Richard Chen
Chief Compliance Officer
Nicola Wealth

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

Kick off the day with a candid, forward-looking conversation featuring senior regulators from the British Columbia, Alberta, and Ontario securities commissions. This panel will explore key priorities shaping the regulatory landscape, including the recent KYC/KYP and suitability guidance, insights from ongoing compliance sweeps, and a preview of upcoming consultations. Discussion topics will also include emerging risks and opportunities in cybersecurity and the use of artificial intelligence, evolving expectations with respect to total cost reporting, liquidity risk management, and initiatives aimed at interprovincial harmonization and reducing regulatory burden.

Moderator:



Jason Brooks
Partner
Borden Ladner Gervais



Janice Leung
Manager, Adviser/IFM
Compliance
*British Columbia Securities
Commission*



Patricia Quinton-Campbell
Associate Director
Market Regulation
Alberta Securities Commission



Raymond Chan
Senior Vice President
Investment Management
Ontario Securities Commission

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

10:45 AM – 12:00 PM Canadian and U.S. Compliance Hot Topics

Building on the CSA regulators panel, this session takes a practical, implementation-focused look at how registrants are responding to the evolving regulatory landscape. Panelists will discuss how CSA expectations around KYC/KYP, suitability and emerging areas such as artificial intelligence are being operationalized in practice, including common challenges and effective approaches observed across firms. The session will also feature a U.S. perspective, highlighting key similarities and differences in regulatory developments and implementation approaches across jurisdictions. Designed for compliance and legal professionals, this session will translate regulatory direction into actionable insights.

Moderator:



Elyse Van Spronsen
Senior Corporate Counsel
*Mawer Investment
Management*



Don Campbell
Compliance and Regulatory Counsel
*Canadian Compliance and
Regulatory Law*



Martin Nigro
Chief Compliance Officer
*Deans Knight Capital
Management*



Tracy Soehle
Associate General Counsel
Investment Adviser Association

12:00 PM – 12:10 PM Break

12:10 PM – 1:30 PM

Lunch Keynote

When Good Firms Get Fooled: The New Fraud Playbook and What Stops Losses



Irene Leung

Executive Director, Forensic Practice
KPMG Canada

This keynote examines why sophisticated fraud increasingly impacts well run investment firms—not due to a lack of policies, but because fraud today exploits urgency, trust, and human behavior. Drawing from forensic investigations, the session focuses on practical lessons rather than theory or technology.

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 for an in-depth discussion on issues facing your firm. Tables will be grouped by similar levels of assets under management (AUM) and will engage in self-led discussions based on a list of suggested topics.

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

3:15 PM – 4:30 PM **Emerging Issues and Industry Hot Topics**

The asset management industry is undergoing rapid transformation, driven by artificial intelligence, emerging technologies, and shifting market dynamics. In this forward-looking session, experts in law, regulation, and investment management will examine how innovation is reshaping portfolio construction and decision-making, while redefining competitive advantage. Panelists will explore key developments across the investment landscape, including evolving risk management priorities, the growing role of data and automation, and strategies for driving organic growth within firms. The discussion will highlight both the strategic opportunities and the operational challenges these trends present. Attendees will leave with practical insights on how firms can adapt, innovate, and position themselves for long-term success in an increasingly complex and competitive environment.

Moderator:



Elena Do

Senior Legal & Compliance Officer
Connor, Clark & Lunn
Financial Group



Robert Armstrong

Head of Multi-Asset Strategies
ATB Investment Management
Inc.



Jessica Lewis

Partner
PricewaterhouseCoopers



David Dyck

Portfolio Manager
CI Direct Investing

4:30 PM – 6:30 PM

Concluding Remarks & Cocktail Reception