

# Vancouver Regulatory & Compliance Forum 2026

## Thursday May 14



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

Moderated  
by:



**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.*

Moderated  
by:



**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 actually 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 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**

*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.*

Moderated  
by:



**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

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