Le Forum sur la réglementation et la conformité de Montréal

Montreal Regulatory & Compliance Forum

Mardi 29 septembre

Tuesday September 29

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

Co-Hosts:

Polina Gamayunova
Director, Operations & Strategy
Clear Skies Investment Management

Antoine Ruel
Senior Director
Operations and Compliance
Archer Wealth Management

9:15 AM – 10:30 AM	**Emerging Issues**

As the investment management landscape continues to evolve, industry leaders will explore the forces reshaping firms, markets, and decision-making. This timely session will bring together perspectives from across management, investment, legal, and compliance to examine emerging risks and opportunities, the changing regulatory environment, advances in technology and AI, and the strategic considerations shaping the future of the industry.

Moderator

Sonia Struthers
Partner
McCarthy Tétrault

David Doumani
Chief Compliance Officer
Chief Risk Officer
PineStone Asset Management

Dimitry Sapon
Senior Director
Team Lead, Data Science
iA Global Asset Management

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 timely, discussion-driven look at the issues shaping the compliance landscape today, from KYC, KYP and suitability, registration and RIME, to cybersecurity and AI, fees and compensation, and regulatory harmonization, including Passport. The session will unpack emerging challenges, highlight key risks and opportunities, and provide actionable strategies to help firms strengthen their compliance programs and navigate regulatory change with confidence.

Moderator

Tania Boulanger
Partner
BCF Business Law

Helen Barfurth
Compliance Consultant
Lester Asset Management

Marielle Girard
Senior Director
Legal and Regulatory Affairs
National Bank Investments

12:00 PM – 1:45 PM **Lunch Keynote - When Trust Becomes the Attack Surface: Financial Crime Risks in Wealth and Asset Management**

Dominic Hurtubise
Partner, Risk Services, Regulatory Compliance and Financial Crimes
KPMG Canada

Sophisticated financial crime rarely succeeds because a firm has no policies. It succeeds when urgency, trust and human relationships override otherwise sound controls. Drawing on practical experience across AML, broker-dealer and wealth management environments, this keynote explores the financial-crime risks investment firms need to recognize earlier — from impersonation and vulnerable-client exploitation to third-party and instruction-related risk. The session will offer practical ways to strengthen escalation, decision-making and client protection without adding unnecessary friction to the client experience.

1:45 PM – 2:00 PM **Break and Sponsor Booth Viewings**

2:00 PM – 3:00 PM **AUM/Topic Based Roundtables**

3:00 PM – 3:15 PM **Break and Sponsor Booth Viewings**

3:15 PM – 4:30 PM **Regulatory Update**

Gain a clearer view of the regulatory landscape and what lies ahead. Senior representatives from the AMF and OSC will share their perspectives on evolving regulatory expectations, emerging areas of focus, and key developments affecting investment management firms. The discussion will explore lessons from recent regulatory work, changing approaches to oversight, and what firms should be considering as they prepare for the next wave of regulatory priorities. Get your questions answered during the Q&A portion at the end of the session.

Moderator

Christian Faribault
Partner
Borden Ladner Gervais LLP

Minh-Thu Bui
Inspector Coordinator
Autorité des marchés financiers

Nicole Truong
Legal Counsel
Regulatory Analyst
Autorité des marchés financiers

Line de Villers
Inspector Coordinator
Autorité des marchés financiers

Kat Szybiak
Senior Legal Counsel
Ontario Securities Commission

4:30 PM – 6:30 PM **Concluding Remarks & Networking**