

Agenda

| | |
|---------------------|---|
| 8:00 AM – 8:30 AM | Registration and Breakfast |
| 8:30 AM – 8:35 AM | Welcome & Opening Remarks Co-hosts: Nadine Krenosky , Chief Compliance Officer, Mawer Investment Management Danielle MacDonald , Chief Compliance Officer, Nicola Wealth Management |
| 8:35 AM – 10:15 AM | Straight from the Regulators Senior staff from the ASC, BCSC and OSC will update PMAC members on current consultations, regulatory and audit findings, and priorities. Moderator: Larry Neilsen , Global Head of Compliance and CCO, RBC Global Asset Management Panelists: Carlin Fung , Senior Accountant, Ontario Securities Commission (OSC) Lynn Tsutsumi , Director, Market Regulation, Alberta Securities Commission (ASC) Mark Wang , Director, Capital Markets Regulation, British Columbia Securities Commission (BCSC) |
| 10:15 – 10:45 AM | Networking Break |
| 10:45 AM – 12:00 PM | Privacy in a Cyber Age Compliance professionals are tasked with safeguarding firm and client information in ways that are efficient, practical, and effective. This session will examine privacy obligations from a compliance standpoint, as well as touch on the latest regulatory expectations around cybersecurity, privacy laws, and mandatory breach notification. Speaker: Andrew Plummer , LL.M, PricewaterhouseCoopers LLP |
| 12:00 PM – 1:00 PM | Lunch Break |
| 1:00 PM – 2:15 PM | Luncheon Keynote - Mark D. Cahn, Partner, WilmerHale Mark, former General Counsel at the U.S. Securities and Exchange Commission (SEC), will regale conference attendees with tales of insider trading, whistleblowing, and internal investigations from his career in private practice and at the SEC. |
| 2:15 PM – 2:30 PM | Networking Break |

2:30 PM – 3:30 PM

Compliance Case Studies

Join us for a regulatory tour-de-force of case studies pertaining to tax traps and AML compliance.

1) Tax Traps

Speaker:

Joseph Micallef, Partner, Tax – National Tax Leader Financial Services & Asset Management Industry, KPMG LLP

2) Anti-money Laundering (AML)

Speaker:

Sean Shore, Securities, Compliance and Regulatory Counsel, Canadian Compliance & Regulatory Law

3:30 PM - 4:00 PM

Networking Break

4:00 PM – 4:45 PM

Closed Session: Recent Portfolio Manager and Investment Fund Manager Audit Experiences and Trends

Without press or regulators in the room, our panel will share observations and take-aways from recent PM and IFM regulatory audits, and discuss recent enforcement trends.

Panelists:

Jason Brooks, Partner, Borden Ladner Gervais LLP

Andrea Lee, Independent Consultant

Martin Nigro, Chief Compliance Officer & AVP Regulatory Compliance, HSBC Global Asset Management (Canada)

4:45 PM – 6:00 PM

Cocktail Reception

Thank you to our **Lead Sponsor:**



Thank you to our **Gold Sponsors:**



FASKEN



Thank you to our **Technology Sponsor:**

