



2019 IIAC COMPLIANCE & OPERATIONS SYMPOSIUM

APRIL 3, 2019

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Updated Mar 8, 2019
Subject to change

Location: Vantage Venues, 150 King Street West, 16th Floor, Toronto

8:00 a.m. *Registration and Breakfast* (45 min)

8:45 a.m. **Opening Remarks** Jack Rando, IIAC

9:00 a.m. **Session One: Leveraging New Technologies to Assist with Compliance and Operations Functions**

Moderator: Jack Rando, IIAC

Panelists: Naresh Tejpal, CIBC Capital Markets
Kuno Tucker, Virtu ITG Canada Corp. | MATCHNow
Gary A Teelucksingh, Capco
Nigel Fonseca, Alithya

9:45 a.m. **Session Two: Cyber Readiness – Where are your Vulnerabilities?**

Moderator: Susan Copland, IIAC

Panelists: Suzanne Lasrado, IIROC
Catherine Drennan, IIROC

10:30 a.m. *Morning Break* (20 mins)

10:50 a.m. **Session Three: Industry Perspectives on IIROC's Debt Market Reporting & Surveillance System**

Moderator: Todd Evans, IIAC

Panelists: Fred Smith, BMO Capital Markets
Vanessa Gardiner, Scotiabank Global Banking and Markets
Marc Poles, IIROC

11:35 a.m. **Session Four: Liquid Alts: The New Retail Frontier**

Moderator: Brian Driscoll, Aligned Capital Partners

Panelists: Michael A Burns, McMillan LLP
Tim Elliott, Connor, Clark & Lunn Funds Inc.
Keith Black, CAIA Association

12:20 p.m. *Lunch* (1 hour)

1:20 p.m. **Session Five: Fireside Chat with Maureen Jensen, Chair and Chief Executive Officer, OSC, and Ian Russell, President and CEO, IIAC**



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- 2:05 p.m. **Session Six: Cannabis and Compliance**
Moderator: Richard W. Carleton, The Canadian Securities Exchange
Panelists: Vic Taboika, Leede Jones Gable
 Krstina Skocic, BLG
 Patrick Magee, Eight Capital Corp.
- 3:05 p.m. *Afternoon Break* (15 min)
- 3:20 p.m. **Session Seven: Vulnerable Clients: How Firms Can Better Protect Both Clients
and Advisors**
Moderator: Michelle Alexander, IIAC
Panelists: Ellen Bessner, Babin Bessner Spry
 Daniella Laise, OSC
 Francois Lavallee, National Bank of Canada
 Kate Shroeder, IG Management
- 4:05 p.m. **Closing Remarks** Michelle Alexander, IIAC
- 4:10 p.m. *Cocktail Reception* Courtesy of Portfolio Aid Inc.