



IIAC WEBINAR

Know-Your-Client – Evolving the Risk Discussion

Thursday, December 2, 2021 | 10:30 am - 12 noon ET

SPEAKER BIOS



SHAWN BRAYMAN

Director of Financial Planning Methodology | Morningstar

For the past 30 years, Shawn Brayman was the President of PlanPlus Inc. and more recently CEO of PlanPlus Global, an amalgamation of two world leaders in Fintech solutions for financial planners and advisors – FinaMetrica and PlanPlus. FinaMetrica led the world with psychometric risk tolerance assessments and PlanPlus created the world's first global platform for financial planning. PlanPlus Global delivered advisory platform solutions to users in over 35 countries and 12 languages.

In April 2020 Morningstar purchased PlanPlus Global and over the last two months has been integrating staff and customers into their operations in Canada, US, Australia and elsewhere. Shawn has remained fully engaged, taking on the role of Director of Financial Planning Methodology for Morningstar. Shawn will be working with other researchers and thought leaders in Morningstar to maximize the impact their research can have on advisors to empower investor success to achieve their goals. Financial Planning solutions will form a cornerstone of this effort as part of a new product group at Morningstar, a NASDAQ listed firm with global reach and impact.

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GREG DAVIES

Head of Behavioural Science | Oxford Risk

Greg is a specialist in applied behavioural finance, decision science, responsible investing, and financial wellbeing.

He founded the banking world's first behavioural finance team at Barclays in 2006, which he led for a decade.

In 2017 he joined Oxford Risk to lead the development of behavioural software to help people make the best possible financial decisions.

Greg holds a PhD in Behavioural Decision Theory from Cambridge; has held academic affiliations at UCL, Imperial, and Oxford; and is author of *Behavioral Investment Management*.

Greg is also Chair of Sound and Music, the UK's national charity for new music; and creator of Open Outcry, a 'reality opera' premiered in London in 2012, creating live performance from a functioning trading floor.

SEAN MCGRATTEN

Senior Director, Regulatory Management and Governance | RBC Wealth Management

Sean is part of a team with global accountabilities for regulatory issues impacting RBC's wealth businesses, working with business unit and functional partners to assess impacts of regulatory change, advocating on behalf of RBC and its clients, and implementing related changes to policies and procedures. Prior to his current role, Sean was Assistant General Counsel, RBC Law Group, leading the team providing legal advice and support to RBC's Canadian registered securities distribution businesses. Before joining RBC, Sean was Vice President & Legal Counsel with DundeeWealth, Legal Counsel on the Market Regulation Team at the Ontario Securities Commission, and privately practiced corporate, commercial, and litigation law. Sean was called to the Ontario Bar in 2001, has an LL.B. from Osgoode Hall Law School and a B.A. from Western University.

MARTIN SPRINGALL

Manager, Compliance Policy & Governance | Raymond James Ltd.

Oversee policy and regulatory change management projects for RJL, including leading on CFR implementation for the firm.

Previously held roles in compliance and the business at TD Canada Trust and CIBC, in monitoring and testing, policy and reporting, and digital channels.



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