



# IIAC WEBINAR

## IIROC Enforcement Rule Updates and Trends

### BIOGRAPHIES

#### SPEAKERS:

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Charles Corlett

Vice President of Enforcement, IIROC

Charles Corlett is the Vice President, Enforcement at the Investment Industry Regulatory Organization of Canada (IIROC). IIROC is the national self-regulatory organization which oversees all investment dealers and trading activity on debt and equity marketplaces in Canada. IIROC carries out its regulatory responsibilities through setting and enforcing rules regarding the proficiency, business and financial conduct of dealer firms and their registered employees and through setting and enforcing market integrity rules regarding trading activity on Canadian equity marketplaces.

Charles was previously Director, Enforcement Litigation and Senior Enforcement Counsel at IIROC and one of its predecessor organizations, Market Regulation Services Inc. Prior to IIROC, Charles practiced corporate and securities litigation at Osler LLP. He received his LL.B. from Dalhousie University.



John A. Fabello  
Partner, Torys

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John is a senior litigation partner and co-leads the Torys Securities Defence Litigation practice and the Torys White Collar Defence and Investigations practice. John focuses on all aspects of securities litigation and regulatory matters, as well as class actions and complex corporate and commercial litigation. John represents clients across Canada before securities and other financial regulators, and the courts. John's practice includes conducting internal investigations and advising financial services firms regarding the quality and sufficiency of their regulatory compliance programs. John has acted as an instructor for in-house broker and investment banker continuing education programs and was seconded for over a year to one of Canada's largest broker-dealers to manage major class action litigation and related securities regulatory matters. John is a frequent speaker and lecturer and has been recognized as a leading lawyer in Canada by Chambers & Partners, *Best Lawyers* and *Lexpert*, among others.



Valerie Quintal  
Senior Counsel and Vice-President of Legal and Regulatory Compliance, BMO

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Valerie Quintal is Senior Counsel & Vice President, Wealth Management Litigation, in the Legal and Regulatory Compliance group at BMO Financial Group. Valerie advises Wealth Management businesses globally on legal and regulatory matters. She leads and manages complex litigation and class actions, internal investigations, regulatory matters and escalated complaints. Prior to joining BMO, Valerie practiced at a leading Toronto litigation boutique and a large firm in Calgary in the areas of general commercial litigation, securities litigation, international arbitration and class actions. She served as a law clerk to the Honourable Justice Thomas Cromwell at the Supreme Court of Canada.

