

IIAC COMPLIANCE & LEGAL CONFERENCE: EVERYTHING YOU WANTED TO KNOW BUT WERE AFRAID TO ASK

DATE:	Monday June 5, 2023
LOCATION:	Delta Hotel, (Kensington Room), 75 Lower Simcoe Street, Toronto
DESCRIPTION:	The roles of Compliance, Legal, Audit and Risk are in a constant state of evolution. The challenges of supporting business innovation while executing effective monitoring, supervision, and oversight, are plentiful and are compounded by evolving regulatory focus and expectations. Our panels of experts and leaders in their fields will help provide clarity and definition on industry 'hot topics' with meaningful insights to get through the next 12 months and onward.

8:00 am – 9:00 am **Breakfast & Registration**

9:00 am – 9:05 am **Welcome – Laura Paglia, President & CEO, IIAC**

9:05am – 10:05am **The Regulators Speak** – This panel will take us behind the curtain of their respective regimes, providing insight into their areas of focus for the coming year. They will talk about their observations over the past year, their biggest pain points and will tackle common misconceptions they encounter. Whether firms are smaller registrants of a single regulator or larger integrated firms subject to overlapping regulatory regimes, delegates will be imparted with important messages these regulators want you to know.

Moderator: Supriya Kapoor, Principal, Aurelius G.R.P.

Speakers: Debra Foubert, Director, Compliance & Registrant Regulation, OSC
Nathalie Sirois, Senior Director, Prudential Supervision, AMF
Arlene Stephens, Senior Director, Non-Financial Risk, OSFI

10:05 am – 10:45 am **Outsourcing and Third-Party Risk Management**

Investment firms outsource. Whether it is trade order management systems, back-office providers, call engagement centres or statement production, firms depend on third parties to help execute their functions. What are the risks and how can they be managed effectively? This podcast style session will tell you what you need to know!

Moderator: None – Podcast Style

Speakers: Steven Slavens, Counsel, Tory's LLP

10:45 am – 11:00 am	Networking Break – Sponsored by Protiviti 
11:00 am – 12:00 pm	Sales Practices National Instrument 81-105 is one of the briefest rules in our industry, but since inception has continued to be one of the most controversial. Having trouble with interpretations? Been subject to scrutiny? This panel will offer experienced insights and colourful anecdotes from some of the industry's most seasoned CCOs to help attendees navigate this topic within their own firms. Moderator: <u>Samir Khan</u> , Partner and Deputy General Counsel, Deloitte Speakers: <u>Gillian Seidler</u> , Vice President & CCO, Mackenzie Financial <u>Catherine Chamberlain</u> , Head of Legal & Compliance, Americas, Vanguard <u>Mo Asadi</u> , Senior Vice President, Head of Legal and Compliance, PIMCO Canada
12:00 pm – 12:45 pm	Creating an Integrated Compliance Program – Can your shop be one-stop? With finite resources, increasing demands and constantly evolving priorities, how do CCOs effectively integrate AML, Privacy, and other key oversight requirements into their programs? This panel of seasoned professionals will help delegates get the most out of what they have. Moderator: <u>Kelley Hoffer</u> , Managing Director, Country Head of Compliance & Operational Risk (Canada), Bank of America Speakers: <u>Sue-Ling Yip</u> , Partner, Risk Consulting & Financial Crimes, KPMG <u>Jacqueline Sanz</u> , Managing Director, Risk & Compliance, Protiviti
12:45 pm – 1:15 pm	Lunch
1:15 pm – 2:15 pm	Fireside Chat – Good Governance and Conflicts of Interest It's been more than 20 years since the publication of "Making it Mutual: Aligning the Interests of Investors and Managers: Recommendations for a Mutual Fund Governance Regime for Canada", and the precursor to National Instrument 81-107. The regulatory pendulum has been swinging on this topic, so we thought the timing was right to hear from the author of the CSA Commissioned report. We will discuss the genesis of his publication, his findings and, by examining current areas of regulatory focus, whether the report recommendations came to fruition. Introduction: <u>Michèle McCarthy</u> , President & CEO, Independent Review Inc. (Panel Sponsor)  Moderator: <u>Jasmin Jabri</u> , Managing Director, Investment Management, IIAC

Speakers:	<u>Stephen Erlichman</u> , Partner, Fasken and Author of “Making it Mutual: Aligning the Interests of Investors and Managers: Recommendations for a Mutual Fund Governance Regime for Canada” <u>Elise Renaud</u> , Partner, Investment Management, Fasken
2:15 pm – 2:30 pm	Networking Break
2:30 pm – 3:10 pm	<p>Management, The Board and Disclosure</p> <p>How should CCO’s best report in order to meet the expectations of Management, The Board and the Regulators? An expert in Law and Business with a long career as a Chief Compliance Officer, Ilona Niemi will walk us through a practical session of what works, what doesn’t, and ultimately how to build effective reporting and be seen as a trusted partner by your Board.</p>
Speaker:	<u>Ilona Niemi</u> , Compliance Executive, Advisory Council for Law & Business at Ted Rogers School of Management
3:10 pm – 4:00 pm	<p>Risk, Compliance, Legal and Audit – A main tenet of any control function is the maintenance of independence and objectivity. Yet, there is an abundance of overlap between the four key control functions. Defining accountabilities and maintaining role clarity between Risk, Compliance, Legal and Audit is critical, but so is ensuring that that messages and escalations are harmonized, all while controls are appropriately reviewed and oversight is accurately reported. This panel will help delegates understand how to ensure the knot of control is untangled.</p>
Moderator:	<u>Jasmin Jabri</u> , Managing Director, Investment Management, IIAC
Speakers:	<u>Brad Beuttenmiller</u> , Sr. Associate General Counsel, Franklin Templeton <u>Liane Kim</u> , Senior Vice President, Internal Audit, Home Trust <u>Liam Mason</u> , Chief Risk Officer, Laurentian Bank of Canada
4:00 pm – 4:05pm	Closing Remarks – <u>Jasmin Jabri</u>
4:05pm – 6:30 pm	<p>Cocktail Reception – Sponsored by NBIN</p> 