



2019 IIAC COMPLIANCE & OPERATIONS SYMPOSIUM

APRIL 3, 2019

- Location:** Vantage Venues, 150 King Street West, 16th Floor
(Garden Suite), Toronto
- 8:15 a.m. *Registration and Breakfast*
- 8:50 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
- 9:50 a.m. **Session Two: Cyber Readiness – Where are your Vulnerabilities?**
Moderator: Susan Copland, IIAC
Panelists: Suzanne Lasrado, IIROC
Catherine Drennan, IIROC
- 10:35 a.m. *Morning Break* *Courtesy of Canadian Western Trust*
- 10:55 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
Marc Poles, IIROC
- 11:45 a.m. **Session Four: Liquid Alts: The New Retail Frontier**
Moderator: Brian Driscoll, Aligned Capital Partners
Panelists: Jason Chertin, McMillan LLP
Tim Elliott, Connor, Clark & Lunn Funds Inc.
Keith Black, CAIA Association
- 12:30 p.m. *Lunch* *Courtesy of National Bank Independent Network*



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- 1:30 p.m. **Session Five: Fireside Chat with Maureen Jensen, Chair and Chief Executive Officer, OSC, and Ian Russell, President and CEO, IIAC**
Introduction: Jean Michel Gosselin, Regional Vice President, NBIN
- 2:20 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.
- 3:20 p.m. *Afternoon Break*
- 3:35 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
François Lavallée, National Bank of Canada
Kate Schroeder, IG Management
- 4:20 p.m. **Closing Remarks** Michelle Alexander, IIAC
- 4:25 p.m. *Cocktail Reception* *Courtesy of Portfolio Aid Inc.*



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