

Strategy Institute presents the
12th Annual Focus Event on

REGISTRANT REGULATION

Conduct & Compliance

May 14 - 15, 2019 | Hilton Doubletree Toronto, ON

Hear from
**OSC, ASC, AMF,
BCSC, & FCNB.**

Prepare for new developments on Client-Focused Reforms,
Investor Protection, Sales Practices, Derivatives and Open Banking

Meet + Network + Learn From:



William Donegan,
*Chief Compliance
Officer - Advisory
Services,*
Manulife Financial



David Linder Q.C., ICD.D,
Executive Director,
**Alberta Securities
Commission**



Minal Upadhyaya,
*Vice President, Policy &
General Counsel,*
**The Investment Funds
Institute of Canada**



Margaret Gunawan,
*Managing Director -
Head of Canada Legal &
Compliance, BlackRock,
Board of Directors,*
PMAC



Frédéric Pérodeau,
*Superintendent, Client
Services and Distribution
Oversight,*
**Autorité des marchés
financiers**



Anne Sonnen,
*SVP & Chief Compliance
Officer,*
Great-West Lifeco Inc

Take Away Key Insights To:

- Plan for client-focused reforms
- Address embedded commissions
- Prepare for NI 93-101 and NI 93-102
- Leverage RegTech for your operations
- Anticipate the future of advice
- Achieve compliance excellence

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12th Annual Focus Event on

REGISTRANT REGULATION

Conduct & Compliance

Welcome to the largest Canadian event focused on compliance solutions for registrants.

The Canadian registrants' regulatory landscape continues to quickly change, with enhanced regulatory expectations - are you up to date?

Mutual fund sales practice reforms, client-focused reforms, and derivatives business conduct and registration rules are just a few regulatory developments that will require massive change on your processes. Your company is relying on you to form new compliance processes.

Engage with top regulators and industry leaders to ensure your firm meets evolving regulatory requirements. Take advantage of unique breakout sessions, specifically designed for Investment Fund managers, portfolio managers and EMDs.

No other conference offers this in-depth discussion tailored to you.

*Your Registrant Regulation Team
Strategy Institute*

**Meet + Network
+ Learn From:**



New This Year

- ✓ **Open Banking:** The regulatory response
- ✓ **Client-Focused Reforms:** Address key investor protection concerns while managing additional compliance obligations
- ✓ **Derivatives Business Conduct and Registration Rules:** Understand new rules for the OTC Derivatives marketplace
- ✓ **RegTech:** Transform your compliance operations
- ✓ **Blockchain and Digital Assets Use:** Making sense of evolving technologies
- ✓ **Future of Embedded Commissions:** Adapting mutual fund sales practices
- ✓ **Future of Advice:** Regulating the delivery of advice
- ✓ **GDPR Compliance:** Adjusting to a changing cyber threats landscape

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Key Takeaways:

- 1. Regulators Q&A:** Update your compliance processes
- 2. Client-Focus Reforms:** Address key investor protection concerns
- 3. Derivatives Business Conduct and Registration Rules:** Understand new rules for the OTC Derivatives marketplace
- 4. Global Regulation:** Anticipate impact of SEC's proposal on fiduciary duty/best interest standard of conduct
- 5. Sales Practices:** Future of Embedded Commissions
- 6. Seniors:** Protect your older investors with suitable advice
- 7. Regtech:** Enhance your KYC and AML monitoring
- 8. Cyber-security & GDPR Compliance:** Review your obligations and know best practices
- 9. Future of Advice:** Regulating the delivery of advice
- 10. Whistleblowers:** Create an effective compliance culture

Register Today!

Get all the updates you need on Canadian Registrant Regulation.

Save your spot now for Canada's largest conversation on changing regulations and compliance improvements.

 **1-866-298-9343 x 200**

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Past Attendees Include

JP Morgan | RBC | Sun Life Financial | Investors Group | HSBC Investment Funds | Mackenzie Investment | Portland Investment | UBS Global Asset Management | Vanguard Investment | TD Asset Management | IBK Capital | OSC | BCSC | MNP Corporate Finance | Walton Capital Management | Timbercreek Asset Management | Credential Securities | Canoe Financial | Empire Life Investment | FrontFour Capital Corporation | Gryphon International Investment | Greystone Management Investment Inc. | IBK Capital Corp | Northern Trust | PMAC | Scotiabank | Newport Private Wealth | Romspen Investment Corporation | BLG

Who You Will Meet

Registrants – Investment Fund Managers, Mutual Fund Dealers, Portfolio Managers, Financial Advisors, Exempt Market Dealers

Chief Compliance Officer | VP Legal | VP Compliance & Financial Reporting | CFO | COO | Sr. Legal Counsel | Manager of Operations & Compliance | Audit Manager | CEO, Founder & President | VP & Director Risk Management

- Get updates from the regulators and ask them questions directly
- Network and brainstorm solutions with key industry players
- Identify strategies to achieve compliance excellence

Regulators – Federal and Provincial Security Commission, Self-regulated Organization (SRO), Ombudsman, Ministry of Finance

Chair | Vice Chair | Director Compliance | Director Regulatory Market | Director Education & Advocacy | Director Communications & Stakeholder Relations | Deputy Ombudsman | VP Compliance Officer | Legal Counsel | Policy Counsel | Deputy Director

- Communicate reforms and the new requirements
- Get feedback from the industry
- Build and maintain stakeholder relations

Law Firms, Solutions Providers, Consultants

Partner | Associate Lawyer | VP & Director of Sales & Marketing

- Demonstrate your expertise and grow your business
- Strengthen relations with regulators and stakeholders
- Network with potential clients and understand their needs better

Register Online at RegistrationReform.com

DAY ONE

TUESDAY, MAY 14, 2019

7:30 AM Registration and Breakfast

8:15 AM Opening Comments from the Chair



Rebecca Cowdery, Partner,
Borden Ladner Gervais LLP



Prema Thiele, Partner,
Borden Ladner Gervais LLP

8:30 AM Provincial Regulators Panel: Current Regulatory Issues

Increase your Understanding of Regulatory Requirements to Build an Effective Compliance Program

Senior and experienced representatives from Canada's regulators discuss their policy objectives and regulatory expectations in depth. Post your questions in advance to clarify staff notices, ask what will be coming in the near future and enhance your compliance strategies. Source exclusive insights to:

- Comply with new regulations and meet expectations
- Determine what will be new for 2019, and the timeline for new requirements
- Align your compliance strategy to meet regulators' objectives

Clarify the expectations of provincial regulators to improve your compliance.



David Linder Q.C., ICD.D, Executive Director,
Alberta Securities Commission



Frédéric Pérodeau, Superintendent, Client Services and Distribution Oversight,
Autorité des Marchés Financiers



Jason Alcorn, Senior Legal Counsel, Securities,
New Brunswick's Financial and Consumer Services Commission

9:15 AM Panel: Client-focused Reforms

Gain Clarity to Facilitate your Implementation of the Proposed Changes

The Canadian Securities Administrators proposed amendments to address key investor protection concerns with respect to the relationship between clients and securities advisers, dealers and representatives with a focus on clients' best interests. The Proposed Amendments are expected to impose additional compliance obligations. This session will explore these amendments and their impact on you.

- Suitability, know your client (KYC) and know your product (KYP)
- Conflicts of interest (including referral arrangements); and disclosure to clients
- New training obligation for registrant firms
- New books and records and policies and procedures requirements
- New restrictions on referral arrangements

Source expert insights on the impact of client-focused reforms to your firm.



Denise T. Carson, CAMS, CPA, CMA,
Chief Compliance Officer, **BMO InvestorLine Inc**



Matthew Onyeaju, FRM, CAMS, Vice President & Chief Compliance Officer,
IPC Investment Corporation



Martin Nigro, CCO / AVP Regulatory Compliance, Asset Management,
HSBC Global Asset Management (Canada) Limited

10:15 AM Mid-morning Networking Break

10:45 AM Panel: Derivatives Business Conduct and Registration Rules

Prepare for Greater Industry Protection and Transparency

The CSA have proposed two new instruments: NI 93-101 Derivatives: Business Conduct and NI 93-102 Derivatives: Registration. These instruments are designed to implement a comprehensive regime for the regulation of dealers and advisors in over-the-counter derivatives. Explore the changes that these rules entail and the expected impact to industry participants and the OTC derivatives market, including:

- Which products and market participants do the rules apply to?
- What obligations are required under the rules?
- What exemptions are available?
- What is the anticipated business and market liquidity impact?

Understand new rules for the OTC Derivatives marketplace.



Margaret Gunawan, Managing Director - Head of Canada Legal & Compliance, **BlackRock**, Board of Directors, **PMAC**



Tim Reibetanz, Senior Counsel & Director; Legal and Regulatory Compliance, **BMO Financial Group**



Matthew Husson, Director, Compliance Legal Counsel, **Scotiabank**



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11:30 AM Panel: Future of Embedded Commissions Mutual Fund Sales Practices

The Canadian Securities Administrators has proposed changes that would prohibit certain embedded commissions paid to dealers in a bid to address investor protection concerns. This includes banning investment fund managers from paying up-front sales commissions to dealers. This session will examine the impact of the implementation of the CSA's policy response to the investor protection and market efficiency issues arising from the prevailing practice of investment fund managers remunerating dealers and their representatives for mutual fund sales through commissions, including sales and trailing commissions

- Ban on trailing commissions to certain dealers who do not make a suitability determination: such as those that only offer trade execution
- Eliminating a compensation conflict inherent in the deferred sales charge option (fee to be paid by the investor if the investment is redeemed prior to a set amount of time)
- Conflict of interest issues

Stay on top of the latest proposals and impact on industry.



William Donegan, Chief Compliance Officer - Advisory Services, **Manulife Financial**



Minal Upadhyaya, Vice President, Policy & General Counsel, **The Investment Funds Institute of Canada**

12:15 PM Networking Lunch

1:30 PM Case Study: OSC

Whistleblowers: Improve your Internal Controls to Identify and Address Any Securities Misconduct Proactively

The OSC's Whistleblower Program, the first paid program of its kind for a Canadian securities regulator, provides whistleblowers an outlet to report securities misconduct and offers a financial award of up to \$5 million. The program is an opportunity for registrants to review and enhance their internal compliance and reporting mechanisms and to foster a culture that encourages the internal reporting of misconduct. The session will cover:

- An overview of the OSC's Whistleblower Program and recent developments
- Legislative amendments which bolster anti-reprisal protections, and their implications for registrants
- Results of OSC's 2018 review of registered firms for compliance with the anti-reprisal provisions in the Securities Act (Ontario)
- Key whistleblowing considerations for registrants

Don't miss key insights and the chance for Q&A with OSC.



Christine Tabbert, Deputy Director, Operations, Enforcement Division, **Ontario Securities Commission**



Dena Staikos, Manager in the Compliance and Registrant Regulation Branch (CRR), **Ontario Securities Commission**



2:15 PM Panel: Future of Advice Regulating the Delivery of Advice

The financial services sector has increasingly witnessed the introduction of innovative technologies to increase choice, improve convenience and lower prices for consumers and businesses. However, there is a fragmented regulatory structure around digital advice. Strengthen your ability to offer advice while navigating the stringent compliance minefield. Develop clarity on the role of automation and more:

- Calls for stricter regulations for financial planners: increased oversight of qualifications and training
- Impact on operations and IT and implications for legal and compliance
- Future regulatory direction

Get ahead of the curve and remain compliant with latest developments in advising rules.



Marsha Gerhart, VP Member Regulation Policy, **Investment Industry Regulatory Organization of Canada**



Danielle Skipp, Chief Operating and Compliance Officer, **BloombergSen Investment Partners**



Jason Streicher, Senior Legal Counsel, **AUM Law**



Brian Pynn, Chief Compliance Officer, **ATB Financial**



Alana Dubinski, VP & Chief Compliance Officer, **Hewitt Investment Management Inc.**

3:15 PM Afternoon Break

3:45 PM Case Study: RegTech Compliance Solutions

Opportunities to Streamline and Reduce your Regulatory Burden

In an increasingly regulated financial landscape, many firms are turning to RegTech to reduce the risk of noncompliance. From identity management and control, to transaction monitoring and risk management, take a deep dive into the latest innovative solutions developed to streamline your compliance efforts:

- Determining the readiness for regtech solutions
- Seeking compliance in the cloud; cyber and data security
- Automating your compliance program: key tools

Explore ways that RegTech can help redefine the future of regulatory compliance in the financial sector.



Anne Sonnen, SVP & Chief Compliance Officer, **Great-West Lifeco Inc**

4:30 PM Conference Adjourns to Day Two & Evening Cocktail Reception

DAY TWO

WEDNESDAY, MAY 15, 2019

7:30 AM Registration and Breakfast

8:15 AM Opening Comments from the Chair



Rebecca Cowdery, *Partner,*
Borden Ladner Gervais LLP



Prema Thiele, *Partner,*
Borden Ladner Gervais LLP

8:30 AM Case Study: U.S. Regulatory Trend

Stay Up-to-date with U.S. Regulatory Changes to Enhance your Compliance

Regulatory reforms in the US provide hints on the direction that Canada might take. Grasp the big picture to anticipate the next challenges for your compliance program. Take away practical tips to:

- Analyze what are driving reforms abroad
- Anticipate how changes in the US will impact your firm
- Adjust your operations to disclosure requirements

Tune in global regulatory trends to strengthen your compliance program.

9:00 AM Open Banking

Preparing for Regulatory Response

Open banking, the concept that would allow customers to share data held by their banks with third parties, such as other financial institutions or fintech companies in order to combine it with data from other sources to yield new benefits to those customers, is gaining traction around the world. But are Canadian FIs ready for it? Explore the concept and the compliance implications:

- Understand the fundamental paradigm shift for financial institutions needed
- Regulatory intervention required by Open Banking
- Developments from around the world to facilitate open banking: GDPR (privacy and control rights) and PSD2 (bank data access rights)

Anticipate and prepare for Open Banking and the Canadian regulatory response.



Shawn L. Graham, *Deputy General Counsel / Retail Banking & Wealth Management Legal Department,*
HSBC Bank Canada

9:45 AM Morning Break



CHOOSE YOUR TRACK

Breakout A: Investment Funds & Portfolio Managers

Investment Funds & Portfolio Managers

As ethics and compliance become more and more important, you must analyze strategies to solve your compliance concerns. Brainstorm new solutions with your peers that will help your organization get ahead. Take back your strategies on:

- Risk management
- Fiduciary duty
- Mutual fund fees and compensation structures
- Representative accreditation
- Outside business activities
- Compliance challenges
- Dispute resolution
- Outsourcing processes
- Advising vulnerable customers

Source specialized information most critical to your role.



Inya Ivkovic, *Vice President, Compliance,*
State Street Global Advisors, Ltd. (Canada)



Donna Spagnolo,
Partner, **Borden Ladner Gervais LLP**

Breakout B: Exempt Market Dealers

Exempt Market Dealers

As the exempt market continues to evolve, creating many challenges associated with compliance, exempt advisers and dealers must stay on top of their existing compliance and reporting obligations and keep informed of potential changes in the regulatory landscape. Key elements of the exempt market regime have recently been amended and regulators are paying closer attention to whether certain prospectus and/or registration exemptions were used appropriately. Hear the latest developments impacting exempt market dealers:

- Capital raising and prospectus exemptions and the regulatory oversight of the private capital markets
- Proper reports of exempt distribution
- AML and privacy legislation issues
- Select KYC issues
- Issues of importance when selling to seniors



Jessica Mitchell,
Chief Compliance Officer, **Tri View Capital Ltd.**



Brian Koscak, B.A.(Hon.), M.A., CIP, LL.B, J.D., LL.M,
President, General Counsel and Chief Compliance Officer, **Pinnacle Wealth Brokers Inc.**

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12:00 PM Case Study: Strategies to Prepare and Manage Increasingly Complex Audits

Create an Action Plan to Excel in your Next Audit

The downside of an audit can be huge. There's more to it than having just complied. In this interactive session, you will work with your peers to improve your strategies to survive and succeed in an audit. Achieve a step-by-step action plan to:

- Understand what the regulators say and respond to what they are looking for
- Refine how you approach enquiries and requests for records
- Implement best practices from your peers for managing the audit process

Develop a model to help your organization plan for its next audit.



Cathy Lin, Esq., Chief Compliance Officer,
Burgundy Asset Management Ltd.

12:30 PM Networking Lunch

1:30 PM Chief Compliance Officer Panel

Build a Sustainable Regulatory Compliance Management Framework: Create a Compliant Culture

Reevaluating your compliance programs is necessary for the common deficiencies found by regulators. Risk management and cultivating a compliant culture are integral components of any compliance program. This session will help you to develop your strategy to stay ahead of regulatory changes.

- Lean into the role of training and education; buy-in; culture
- Address common gaps in compliance programs and controls; reporting
- Cultivate and utilize your resource base to anticipate regulatory changes

Excel in developing and implementing your risk management program.



Angela Nikolakakos, SVP, Chief Compliance Officer,
General Counsel and Corporate Secretary,
Natixis Investment Managers



Keri Bush, Vice President, Canadian Banking
Compliance, Scotiabank



Scott Selig, Deputy CCO, Canada Compliance,
Capital One



Waqas Rana, MBA, CPA, CMA, Vice President &
Chief Compliance Officer, The Co-operators
Group Limited

2:30 PM Case Study: RBC

Improve your Company Processes for Senior's Advice and Stay Compliant

With an aging population, regulators regularly express their concerns about protecting seniors, recognizing that the financial lives of older Canadians have grown increasingly complex relative to previous generations. Enhance your strategy to:

- Target common pitfalls when ensuring suitable advice
- Refine your list of retirement securities
- Train your advisors to deliver suitable advice to your senior investor

Enhance the protection of your vulnerable investors to exemplify excellence in compliance.



Nick Cardinale, Chief Compliance Officer, Head of
Canadian Wealth Management Compliance,
RBC Wealth Management

3:00 PM Afternoon Break

3:15 PM Case Study: Cybersecurity

Risk Management in the New Digital & Data Protection Era

Cybersecurity has become an increasingly important part of registrants' internal controls. There is increasingly a need for proactive strategies to protect your customers and reputation by complying with regulations to minimize the risk of a data breach, Denial of Service attack or ransomware threat.

- Grasp the most pressing issues that could affect your organization
- Look for compliance requirements and learn from SEC fines
- Overview and breach notification
- Stay up to date with new threats; have a plan to reduce potential attacks
- Assess your vulnerabilities; increase your use of encryption
- Implications of GDPR outside the EU

Advance your protective measures to avoid a data breach.



Alejandro Cuartas-Villada, Compliance Manager,
Nest Wealth

4:00 PM Conference Adjourns

Your Conference Venue!



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