



# 2015 IIAC COMPLIANCE & OPERATIONS SYMPOSIUM

## APRIL 1, 2015

St. Andrew's Club and Conference Centre, Garden Hall (16<sup>th</sup> Floor)  
150 King Street West, Toronto, ON

### AGENDA

- 8:00 a.m.**      *Registration and breakfast opens*  
*Breakfast – Sponsored by Broadridge*
- 8:45 a.m.**      **Opening Remarks – Ian Russell, President and CEO, IIAC**  
**Presenting Sponsor – Laurie Clark, President and CEO, Smarten Up Institute**
- 9:00 a.m.**      **Session 1: Point of Sale – Meeting the Challenges**  
Introduction:    Michelle Alexander/Adrian Walrath, IIAC  
Panelists:        Larry Boyce (SBG Regulatory), Donna Bristow (Broadridge),  
                         Rebecca Cowdery (BLG), John Morton (Scotiabank)
- 10:00 a.m.**      *Break – Sponsored by Broadridge*
- 10:15 a.m.**      **Session 2: Global Tax Information Reporting: What you need to know...FATCA and beyond**  
Moderator:       Andrea Taylor, IIAC  
Panelists:        Vuk Magdelinic (PwC), Jillian Nicolson (Ernst & Young)
- 11:15 a.m.**      **Session 3: T+2 – The What, Why, When and How of a shorter settlement cycle in Canada**  
Moderator:       Barb Amsden, IIAC  
Panelists:        Bob Shaw (SSCNet), Fran Daly (CDS), Tom White (Fidelity)
- 12:00 p.m.**      *Luncheon – Sponsored by CDS Limited*  
**“CDS Navigates 2015”, by Jean Desgagne, President and CEO, CDS Limited**
- 1:15 p.m.**      **Session 4: IIROC Staff Review of IIROC Annual Compliance Report**  
Introduction:    Michelle Alexander, IIAC  
IIROC Staff:     Joe Yassi, Mike Prior, Ciro Mirabella
- 2:15 p.m.**      **“OMG or BFF? - The Advent of Retail Investor Advocacy In Canada”, by Alex Daschko,**  
**Instructor, Smarten Up Institute**
- 2:45 p.m.**      *Break – Sponsored by CDS Limited*
- 3:00 p.m.**      **Session 5: Cybersecurity – Keeping Your Business and Clients Safe**  
Introduction:    Susan Copland, IIAC  
Presenter:       Larry Keating (NPC Dataguard)
- 4:00 p.m.**      **Closing Remarks – Jack Rando, Managing Director, IIAC**  
*Followed by Cocktail Reception – Sponsored by Portfolio Aid*

\*\*\* Panel sessions may be eligible for CE credits \*\*\*

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