

# 2022 IIAC Wealth Compliance Symposium - *Staying Ahead of the Curve*

Thursday, April 28, 2022; 8:00 am to 4:30 pm ET

Toronto Region Board of Trade, Lennox Hall, First Canadian Place, 77 Adelaide St. West, Toronto

8:00 am **Registration and Breakfast** - Breakfast Courtesy of [PortfolioAid Inc.](#)

8:50 am **Opening Remarks:** [Laura Paglia](#) | President and Chief Executive Officer | Investment Industry Association of Canada (IIAC)

8:55 am Welcome by Breakfast Sponsor: [Sam Webster](#) | President | PortfolioAid Inc.

9:00 am **Session One: The Future of Wealth Compliance Technology**

*Legacy technologies, the data and dirty data are preventing wealth firms from scaling their business and improving advisor experience and investor outcomes. Compliance technology can be a catalyst for change. This panel will explore how wealth management firms can connect front, mid and back-office technology to create an integrated compliance experience. The winners in wealth management will be those firms that challenge the status quo.*

Moderator: [Sean Shore](#) | Legal & Compliance Professional | Canadian Compliance & Regulatory Law

Panelists: [Christina Soares](#) | Chief Compliance Officers & Head of Business Integrity | Aligned Capital Partners Inc.

[Lori Weir](#) | CEO and Co-Founder | Four Eyes Financial

[Louise Hamel](#) | Vice President, Business Conduct Compliance | Investment Industry Regulatory Organization of Canada (IIROC)

10:00 am **Session Two: The Role of Behavioural Science in Compliance**

*With an increase in regulatory focus on ethical standards and treating customers fairly, this session will focus on the advances in behavioural science at the OSC and how its work can help organizations create more meaningful investor disclosures and increase compliance program effectiveness.*

Moderator: [Jasmin Jabri](#) | Managing Director | Investment Industry Association of Canada (IIAC)

Panelist: [Tyler Fleming](#) | Director, Investor Office | Ontario Securities Commission

11:00 am **Morning Break** - Courtesy of [Four Eyes Financial](#)

11:20 am **Session Three: IIROC and MFDA Regulatory Integration Update**

*The new SRO is expected to be up and running on January 1, 2023. What does this mean for your firm on Day 1?*

Moderator: [Laura Paglia](#) | President and Chief Executive Officer | Investment Industry Association of Canada (IIAC)

Panelists: [Irene Wine](#) | Senior Vice-President, Member Regulation and Strategy | Investment Industry Regulatory Organization of Canada (IIROC)

[Karen McGuinness](#) | Senior Vice-President, Member Regulation - Compliance | Mutual Funds Dealers Association of Canada

12:30 pm **Lunch** - Courtesy of [Fidelity Clearing Canada](#)

1:30 pm **Session Four: Re-Imagined Client Communications - New Legal and Compliance Challenges**

*Digitisation of financial services and communications is increasingly popular and reflects retail demands.*

Moderator: [Adrian Walrath](#) | Director | Investment Industry Association of Canada (IIAC)

Panelists: [Donald McElligott](#) | Vice President - Compliance Supervision | Global Relay Communications Inc.

[Margaret Gunawan](#) | Managing Director - Head of Canada Legal & Compliance | BlackRock Asset Management Canada Limited (BlackRock Canada)

[Paige Wadden](#) | Chief Compliance Officer and VP, Risk Oversight | Fidelity Clearing Canada

2:20 pm **Session Five: Cryptocurrency - It Is Here and Clients Want It. What Now?**

The panel will discuss how dealers can address client demand and satisfy regulatory obligations with respect to KYC, KYP, risk considerations and advisor concerns.

Introduction: [Todd Evans](#) | Managing Director | Investment Industry Association of Canada (IIAC)

Moderator: [Kuno Tucker](#) | Global Chief Compliance Officer | Coinsquare

Panelists: [Evan Thomas](#) | Head of Legal | Wealthsimple Crypto

[Giles Anderson](#) | Vice President, Digital Asset Sales and Relationship Management | Fidelity Clearing Canada

[Geraldo Ferreira](#) | Senior Vice-President, Head of Investment Products & Manager Oversight | CI Investment Management

[Jacqueline Sanz](#) | Managing Director | Protiviti Inc.

3:20 pm **Afternoon Break** - Courtesy of [National Bank Independent Network](#)

3:35 pm **Session Six: Chief Compliance Officers Roundtable - Hot Topics and What Keeps Them Up At Night**

Introduction: [Parham Nasser](#) | Vice President, Regulatory Strategy & Partnerships | InvestorCOM Inc.

Moderator: [John Waldron](#) | Founder | Learnedly Canada Inc.

Panelists: [Naomi Bartlett](#) | Senior Vice President and Chief Compliance | IGM Financial Inc.

[Wayne Bolton](#) | Principal, Compliance | Edward Jones

[Denise Carson](#) | Chief Compliance Officer - BMO Private Investment Counsel Inc., BMO Asset Management Inc. and BMO Investments Inc. | BMO Financial Group

4:30 pm **Closing Remarks** - [Laura Paglia](#) | President and Chief Executive Officer | Investment Industry Association of Canada (IIAC)

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