



TODAY'S INVESTMENT INDUSTRY

FROM A BUSINESS OPERATIONS & COMPLIANCE PERSPECTIVE

MAY 30, 2017

Location: St. Andrew's Club and Conference Centre, 150 King Street West, 16th Floor, Toronto

- 7:45 a.m. **Registration and Breakfast**
Breakfast – Sponsored by JD Power
- 8:30 a.m. **Welcome:** Ian Russell, President and CEO, IIAC
- 8:45 a.m. **Session 1:** **Wealth and Asset Management 2021: How you can prepare for transformative change**
Introduction: Lisa Howes, Managing Director, Canadian Sales, Broadridge Financial Solutions
Speakers: Darrell Campfield, Vice President, Strategic Solutions, Broadridge Financial Solutions
Traci Mabrey, Head of Wealth Solutions, Wealth and Capital Markets Solutions, Broadridge Financial Solutions
- 9:50 a.m. **Session 2:** **What do Canadian investors want? Keys to delivering an exceptional client experience**
Speaker: Michael Foy, Senior Director, Wealth Management, J.D. Power
- 10:50 a.m. *Morning Break – Sponsored by Portfolio Aid*
- 11:05 a.m. **Session 3:** **Generating business value from your compliance and operations functions**
Moderator: Dil Sodhi, Senior Principal, Canada Regulatory and Compliance Accenture
Panelists: Naresh Tejpal, Senior Director, Capital Markets Compliance, CIBC
Dave Moore, Director, Capital Markets Trade Supervision, BMO
Preeti Malik, Practice Lead, Canada Risk & Compliance, Accenture
Venetia Woo, Senior Principal, Regulatory and Compliance, Accenture
- 12:00 p.m. *Networking Lunch – Sponsored by PureFacts*
- 1:00 p.m. **Session 4:** **Fireside chat: “A 30,000-foot perspective on the key regulatory themes affecting IIAC member firms and their clients.”**
Speakers: Ian Russell, President and CEO, IIAC
Andrew Kriegler, President and CEO, IIROC

- 1:50 p.m. **Session 5:** **The wealth transfer: Trends and implications of the intergenerational shift in wealth**
Speaker: Kimberly Maiatico, Senior Tax Manager, Private Company Services, PwC
- 2:35 p.m. *Afternoon Break – Sponsored by Portfolio Aid*
- 2:50 p.m. **Session 6:** **Ways FinTech can enhance dealers' performance**
Moderator: Kuno Tucker, Director, Chief Compliance Officer, ITG Canada Corp
Panelists: Kendra Thompson, Managing Director and Global Head, Wealth Management, Accenture
 Pramod Udiaver, Co-founder and Chief Executive Officer, Invisor Investment Management Inc
 Robert Kirwin, CEO, ViligiantCS
 Blair Wiley, Partner, Corporate, Osler, Hoskin & Harcourt LLP
 Russell Verbeeten, Decentralized Operations Specialist, ConsenSys
- 4:20 p.m. **Closing:** Ian Russell, President and CEO, IIAC
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