



# IIAC WINTER COMPLIANCE & OPERATIONS SYMPOSIUM

FEBRUARY 27, 2014

Toronto Board of Trade, 77 Adelaide Street West, 4<sup>th</sup> Floor, Toronto, ON

## AGENDA

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

**8:00 a.m.**      *Registration and breakfast opens*  
*Breakfast – Sponsored by NBCN*

**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:      “Should You Press Send?” – Navigating the New Anti-Spam Regulations**  
Introduction: Susan Copland, Managing Director, IIAC  
Panelists: Adam Kardash, Osler, Hoskin & Harcourt LLP  
Drew Brown, TD Waterhouse

**10:00 a.m.**      *Break – Sponsored by NBCN*

**10:15 a.m.**      **Session 2:      Industry Observations on Seniors as Clients**  
Introduction: Michelle Alexander, Vice President, IIAC  
Moderator: Ellen Bessner, Babin Bessner Spry LLP  
Panelists: John Morton, Managing Director, Retail Compliance &  
Chief Compliance Officer, ScotiaMcLeod & Scotia iTrade  
Craig Schleyer, VP, CFO & CCO, Watt Carmichael  
Joe Yassi, VP Business Conduct Compliance, IIROC

**11:15 a.m.**      **Session 3:      Developments in Listed Derivatives**  
Introduction: Richard Morin, Managing Director, IIAC  
Panelists: Frank Barillaro, Director, Market Analysis and Project Management,  
Regulatory Division, Montreal Exchange  
Robert Tasca, Senior Manager, Institutional Relations, Montreal Exchange

**12:00 p.m.**      *Networking Lunch – Sponsored by Broadridge Financial Solutions (Canada)*

**1:00 p.m.**      **Session 4:      Anti-Money Laundering – New Requirements and FINTRAC Guidance**  
Introduction: Michelle Alexander, Vice President, IIAC  
Speaker: Michael Pawliw, Regional Director – Central Region, FINTRAC

**1:45 p.m.**      **Session 5:      FATCA – What you need to know**  
Introduction: Andrea Taylor, Managing Director, IIAC  
Speaker: Jillian Nicolson, Partner, Canadian Operational Tax Leader, Ernst & Young LLP

**2:45 p.m.**      **Break – Sponsored by Broadridge Financial Solutions (Canada)**

**3:00 p.m.**      **Session 6:      The CRM Clock is Ticking: 336 days down, 869 to go**  
Introduction: Laurie Clark, President and CEO, Smarten Up Institute  
Keynote: André Fok Kam, CPA, CA, MBA – "CRM2 and Investor Behaviour"  
Moderator: Rebecca Cowdery, Partner, Borden Ladner Gervais  
Panelists: Barbara Amsden, Managing Director, IIAC – Survey Results  
David Malone, Vice-President, Business Initiatives, RBC Wealth Management  
Canada – "CRM2 2014 – What's your Readiness Strategy?"  
Paul Strijckers, Vice-President, Strategic Initiatives, Broadridge  
Financial Solutions (Canada) – "CRM2 July 15, 2015 and 2016 implementation"  
Brian Driscoll, VP, Associate Portfolio Manager, Burgeonvest Bick Securities  
Limited – Introducing Broker  
Clint Arthur-Wong, Senior Risk Manager, NBCN Inc. – Carrying Broker

**4:30 p.m.**      **Closing Remarks – Jack Rando, Managing Director, IIAC**  
Followed by Cocktail Reception *Sponsored by Portfolio Aid*

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