



*Noel Sequeira*  
*Manager, Business Conduct Compliance, IIROC*

With IIROC for a combined 14 years, Noel ensures that IIROC Dealers comply with business conduct requirements through risk-based exams, business change reviews and other forms of continual oversight. Noel also helps ensure that Business Conduct Compliance's exam program remains effective, efficient and relevant.

While on prior secondment with the OSC, Noel performed reviews of EMDs and IFMs. Noel also contrasted and reported on the various regulatory approaches employed by the OSC and IIROC's compliance teams suggesting best practices to increase effectiveness through alignment and information sharing. Noel previously acted as Chief Compliance Officer for a boutique IIROC Dealer and performed compliance/oversight at a Canadian bank-owned IIROC Dealer.