



STEP AHEAD OF REGULATORY RISK

10:00AM-4:00PM - Registration opens at 9:30

Borden Ladner Gervais

East Tower, 22 Adelaide St. E, 34th Floor, Toronto, ON

Boardrooms 34-303E and 34-302E

Event Schedule

9:30AM – 10:00AM : REGISTRATION AND NETWORKING

10:00AM – 10:15AM : OPENING REMARKS - MANNY DASILVA



Manny DaSilva, ACCP Chair

*President & Chief Compliance Officer
Canfin Magellan Investments Inc.*

Manny has over 30 years experience in the financial services industry and the last 20 years has been with Canfin Financial Group. In his 20 plus years Manny has experienced a wide range of roles from being a representative to manager, and then Compliance Officer and Vice President of Marketing and now President & Chief Compliance Officer. This wide range of experience allows Manny the unique opportunity to make decisions with the first hand understanding on how it will impact the representative, management and the corporation as a whole.

Manny is also the Chair of the Association of Compliance Professionals. Founded in 2000, the Association of Canadian Compliance Professionals (“ACCP”) is an organization representing individuals who have chosen compliance as their career and who are dedicated to improving compliance operations within the mutual fund dealer community.



Master of Ceremonies:

Cheryl Hamilton, CFP, CPCA

*Vice President Risk Management, Chief Compliance Officer
Hub Capital Inc., Hub Financial Inc.*

With a career that spans more than 30 years in the financial services industry, Cheryl’s extensive experience includes executive positions within the investment, deposit broker, financial planning and life insurance sectors. Her knowledge, expertise and leadership accomplishments span the various pillars of wealth management and include executive management, senior compliance, risk management and regulatory responsibilities with Hub Capital Inc., Desjardins Financial Security Investments Inc., MGI Financial Inc., and Hub Financial Inc.

Cheryl holds the Certified Financial Planner (CFP) and Certified Professional Consultant on Aging (CPCA) designations and lends her expertise to a number of industry committees and associations. She currently serves as Chair of the MFDA Central Regional Council and is a Charter Member and Treasurer of the Association of Canadian Compliance Professionals (ACCP).

10:15AM – 11:00AM : THE WINNER WITHIN**Randy Taylor***TaylorMade Leadership*

In this keynote ***The Winner Within*** Randy Taylor will assist attendees to explore their own human potential based on almost 40 years of the study of the science of human behaviour. He will unveil both the structural and psychological changes necessary to create substantive and lasting growth for you in your business and personal life. True success is achieving a self-defined level of growth in all areas of life.

The Winner Within moves beyond knowledge and skill training and explores the areas of drive, behaviour, focus, relationships and growth. In addition to providing insight into the science of human potential, Randy will also discuss the necessity of the impact of a person's work and how compliance plays an integral role in the world of financial services both for the end user and advisor as well. The power of why is critical in personal development.

"This keynote will not only inspire you to know your potential but to also provide actionable steps that will allow you to begin the process."

Learning Objectives:

- To understand and overcome the greatest barrier to success
- The mechanism to stop stopping
- The 867 Factor and the power of compound activity
- Get off the roller coaster-key to producing superior results
- The Power of Why-The drive of making a difference

"Where we are now has nothing to do with where we can go"

RANDY TAYLOR
TAYLORMADE LEADERSHIP



"I am not the magic man. You are. My job is to hold up the mirror and have you see what I see. What's always been there. To then inspire you to transform your confidence and grow your belief until you become what you have always been capable of being. Magnificent."

From poverty, parent alcoholism and life on the streets at age 14, Randy Taylor is a true example of what is possible for us all. Randy has emerged as one of the nation's leading experts in human potential and leadership development. His passion is to encourage others to break down their most daunting personal barriers, helping them rewire the way they think and inspiring them to reach their true potential. Decades of study into the science of human behavior were instrumental in the development of his seminars and in depth training and development programs.

His conference and behavioral performance training clients span the nation and include Manulife, Investors Group, Celestica, Accenture, London Life, Motorola, Aim Trimark, RBC, Xerox, Empire Life, ReMax Realty, Petro Canada, Kraft Foods, Industrial Alliance, Freedom 55 Financial, The Government of Canada, and many more.

www.taylormadeleadership.com

11:00AM – 12:00PM:

WHAT TO EXPECT IF THE REGULATORS INVITE YOU TO AN INTERVIEW

David Di Paolo,

Partner, BLG Borden Ladner Gervais



An opportunity to learn from a mock regulatory interview of a Compliance Officer. David will be interviewing Manny DaSilva, ACCP Chair in this role-playing interactive session with the objective of providing greater understanding of what you should, and should not do if invited for a regulatory interview.

David Di Paolo is a partner, the manager of the Toronto Commercial Litigation Group and regional chair of the Securities Litigation Group at Borden Ladner Gervais LLP. David represents registrants and public companies and their respective officers, directors and shareholders in all manner of proceedings and prosecutions. He has appeared before all levels of Court including the Supreme Court of Canada as well as provincial securities commissions, self-regulatory organizations such as the Investment Industry Regulatory Organization of Canada (IIROC) and the Mutual Fund Dealers Association of Canada (MFDA).

David's areas of focus include:

- Securities litigation and regulation, including broker liability and departing broker litigation, proceedings before the Ontario Securities Commission, self-regulatory organization disciplinary proceedings and charges under the Securities Act.
- Securities class actions and shareholders' rights litigation, including oppression proceedings and derivative actions.
- Directors' and officers' liability, including shareholders' actions, creditors' actions, and offences under the Securities Act and other regulatory statutes.
- Takeover bid litigation.
- Election law litigation.
- General commercial litigation, including contract disputes, lender liability and debtor/creditor rights.
- representatives, including over 5,500 registered to sell mutual funds. *A graduate of Osgood Hall Law School, David was called to the Bar of Ontario in 1991.*

12:00PM – 1:00PM

LUNCH AND NETWORKING

1:00PM – 2:00PM

INVESTIGATIVE INTERVIEW TECHNIQUES OF ADVISORS AND COMPLAINANTS

James Douglas

Partner, BLG Borden Ladner Gervais



Throughout the course of a regulatory investigation and/or client complaint we are required to interview the Complainants and Advisors. James will review the process and techniques associated with conducting these interviews in order to assist you with fine-tuning your process.

Jim Douglas is a partner in our Toronto office. He is the national leader of Borden Ladner Gervais LLP's Securities Litigation Group and the co-chair of the firm's Investigations and White Collar Defence Group. His practice focuses on:

- Securities litigation and regulation, including broker liability, proceedings before the Ontario Securities Commission (OSC), SRO disciplinary proceedings and charges under the Securities Act and Criminal Code, along with related class action proceedings.
- Mergers and acquisitions litigation.
- Shareholders' rights litigation, including proxy fights, oppression proceedings, derivative actions and shareholders' class actions.
- Directors' and officers' liability, including shareholders' actions, creditors' actions, and offences under the Securities Act and other regulatory statutes.

General commercial litigation, including contract disputes, debtor/creditor rights, commercial torts and energy market litigation.

Jim has represented the OSC, the Investment Industry Regulatory Organization of Canada, the Mutual Fund Dealers Association of Canada, The Toronto Stock Exchange and other securities regulatory authorities in investigations, prosecutions and disciplinary proceedings. He also represents registrants and public companies and their respective officers, directors and shareholders in civil proceedings and in all manner of proceedings and prosecutions before provincial securities commissions, self-regulatory organizations and the courts.

Jim was Senior Investigation Counsel at the OSC in 1989-90. He was also the Litigation Manager for the Enforcement Branch of the OSC in 1996-97. Both positions were secondments from the Firm.

2:00PM – 3:00PM : THE GOOD, THE BAD AND THE COSTLY PART 1 (BACK BY POPULAR DEMAND)

An opportunity to hear panelists from a small, medium and large mutual fund dealers candidly discuss how their firms are handling some of today's most challenging compliance issues and provide insight into stepping ahead of regulatory risk.

Speakers: Ken Parker, David Grad, Lorraine Bate Boerop

Moderator: Gary Legault



Ken Parker
Chief Executive Officer, Belay Wealth Inc.

Ken is a chartered accountant and is the chief executive officer of Belay Wealth Inc., a new firm that has applied for MFDA membership and registration as a mutual fund dealer. Before joining Belay Wealth, he had been the CCO and CFO of two mutual fund dealers from 2006 to 2017. He is on the Board of the ACCP and was previously a member of the MFDA's Policy Advisory Committee. He was a member of the MFDA's Prairie Regional Council from 2008 to 2010.

Ken joined the Alberta Securities Commission as a financial analyst in 1988, becoming Director, Capital Markets in 1993, Director, Corporate Finance in 1995, and then director of a combined corporate finance and capital markets department from 1997 until 2005. Ken represented the ASC on numerous Canadian Securities Administrators committees, including: Registrant Regulation (chair), Continuous Disclosure (founder and chair), Information Technology (chair), Registration Reform, Distribution Structures, SRO Oversight, Corporate Finance, Internet, NRD, SEDAR, and SEDI. He represented the ASC on the creation and development of the MFDA. In 2005 and 2006 he was a consultant to the Ontario Securities Commission.

David Grad
Executive Vice-President, General Counsel, Corporate and Chief Compliance Officer
Primerica Financial Services inc.



David has over 26 years of experience working in legal and compliance roles within the financial services industry having worked with mutual fund dealers, banks and insurance companies. His role with Primerica has him overseeing and managing the Legal, Regulatory Compliance and Market Conduct Departments comprised of over 30 professional and support staff. He provides legal, governance and compliance advice with respect to operational issues relating to the products and services sold and provided by or through a mutual fund dealer, a life insurance company and an insurance agency. He also provides advice on regulatory, legal and compliance issues relevant to the companies and the market conduct of Primerica Canada's field sales force of over 9,500 independent sales

**Lorraine Bate Boerop**

Over the past 25 years Lorraine has held management positions in the securities, life insurance and pension industries.

Most recently Lorraine was responsible for developing and overseeing the compliance structure for an independent mutual fund dealer.

Lorraine spent five years at the Mutual Fund Dealers Association of Canada (MFDA) as an Investigator. Prior to joining the regulator Lorraine worked at multinational broker/dealer firm where she was the Registered Principal accountable for the operations, trading and registration functions.

Lorraine has completed many industry accreditation courses and holds the Fellow Canadian Securities Institute F.C.S.I. designation, the Financial Management Advisor F.M.A. designation and the Fellow Life Management Institute F.L.M.I designation.

**Gary Legault, CPA, CGA**

Compliance Consultant

Legault Compliance Consulting

From 1997 to 2011, Gary worked for one of Canada's largest national mutual fund dealers as a chief compliance officer, chief anti-money laundering officer and chief privacy officer. In addition, he also held the same positions with related firms engaged in mortgage brokerage and insurance brokerage activities.

In 2011, Gary established Legault Compliance Consulting to provide compliance consulting expertise to mutual fund dealers, scholarship plan dealers and portfolio managers.

Gary has served on numerous industry committees and trade associations including IFIC committees and MFDA Hearing Panels. Gary has actively participated in the Association of Canadian Compliance Professionals (ACCP) since 2000 and he is the ACCP's Vice Chair in 2017. Previously, he was the ACCP's Chair in 2012 and Vice Chair in 2010, 2011, 2013, 2014, 2015 and 2016.

3:00PM - 4:00PM**: WAKE UP FROM YOUR NOTE TAKING NIGHTMARE!****Ellen Bessner***Partner, Babin Bessner Spry LLP*

One of the biggest risks to advisors and dealers is the quality of client meeting notes. Ellen Bessner's interactive workshop will drill through the challenges presented in regulatory enforcement and litigation associated with this difficult topic.

Ellen Bessner is an experienced, tough-minded commercial litigator, known for her determination and common sense advice. With over 20 years' experience on Bay Street at prominent Canadian law firms Cassels Brock & Blackwell LLP and Gowling WLG, Ellen has acted as counsel before every level of the Ontario courts and in many arbitrations and regulatory proceedings, including before the Financial Services Commission of Ontario (FSCO), the Investment Industry Regulatory Organization of Canada (IIROC), the Mutual Fund Dealers Association of Canada (MFDA), and the Ontario Securities Commission (OSC).

At Babin Bessner Spry LLP, Ellen is a leader in commercial and securities litigation, employment litigation, directors' and officers' liability, professional negligence, class actions, and regulatory matters. She is regularly retained to advise boards of directors and senior officers on compliance issues.

Ellen is the author of *Advisor at Risk: A Roadmap to Protecting your Business*. This bestselling book is a leading risk management tool for professionals in the financial services industry. Ellen has also written extensively on the subject of risk for national, business, and industry publications.

In 2016, Ellen was appointed to the OSC's Seniors Expert Advisory Committee. She sits on the board of Knowledge First Financial Inc. and is a panel member for the Certified Professional Accountants of Ontario (CPA)'s regulatory arbitrations.

4:00PM - 4:15PM**: CLOSING REMARKS - MANNY DASILVA**

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Founded in 2000, the Association of Canadian Compliance Professionals ("ACCP") is an organization representing individuals who have chosen compliance as their career and who are dedicated to improving compliance operations within the mutual fund and exempt market dealer communities.

The ACCP has members across Canada working with mutual fund dealers, exempt market dealers, mutual fund companies, insurance companies and MGAs, as well as industry service providers including legal, technology and independent consultants.

THANK YOU TO OUR GENEROUS SPONSORS



A few words about the ACCP from our members

"I have been involved with the ACCP since its inception. It is a truly fantastic organization. As a CCO out on the edge of the frontier in Edmonton, it gets pretty lonely. It's nice to be able to reach out to other members for guidance and to have access to such a wonderful, and brilliant, group of compliance professionals. Guidance, advice and best practice ideas have always been freely shared for the benefit of all members.

Our jobs are incredibly difficult, only other compliance officers understand what we are all going through. There really is no formal training for these roles, you have to learn by experience. You just have to hang on, run with it, and figure things out as you go. It's not an easy endeavor when the rules are constantly changing and the industry is rapidly evolving. The ACCP is truly a lifeline in the never ending chaos and mayhem we face every day."

Richard Bergeron, AVP, Chief Compliance Officer
Canadian Western Financial

"I joined ACCP this past fall and have participated in 2 conference calls to date. I have found both calls very informative and helpful in knowing that challenges that myself and clients face are the same as others in the industry. The participation in ACCP has helped my practice in that current topics (such as the latest regulations and/or initiatives from regulators) are discussed and everyone can share their strategies to handle these requirements. I look forward to being able to talk to other members in-person at upcoming events."

Scott Barkley, Managing Partner
Barkley and Barkley Professional Corporation