

STEP AHEAD OF REGULATORY RISK

DETAILED EVENT SCHEDULE

SPEAKER BIOGRAPHIES

9:30am - 10:00am

Registration and Networking

10:00am - 10:15am

Welcome and Opening Remarks



Manny DaSilva, Chair

Association of Canadian Compliance Professionals

Manny has over 30 years experience in the financial services industry and the last 22 years has been with Canfin Financial Group. Over the years Manny has experienced a wide range of roles from being a Representative, Manager, Compliance Officer and Vice President of Marketing, Chief Compliance Officer, as well as President and UDP. 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.

10:15 - 11:00am

"Client Complaints - New Rules, New Processes Lead to New Challenges Inside and Out"

The investment industry is facing profound changes in expectations and processes for addressing investor complaints, including a proposed expansion to include "employees" in reporting obligations. Compliance professionals are the front line meeting those changes, being increasingly squeezed between regulatory expectations imposed from the outside and dealer and advisor conduct on the inside. The coming changes will bring new challenges for compliance professionals, requiring adaptation while maintaining steadfast commitment to the goals and purposes of compliance. This session will touch on the upcoming changes but will focus on the pressing issue for compliance professionals: how to respond to those changes.



Susan Kushneryk, Partner
Kushneryk Morgan LLP

Susan has advised boards of directors in a range of special situations; prosecuted securities fraud; litigated complex, high-value capital markets disputes including class actions; and conducted investigations of a range of alleged misconduct in public and private companies. Susan has appeared before the Supreme Court of Canada, all levels of court in Ontario, the Federal Court, the Alberta Courts of Appeal and King's Bench, the OSC, CIRO and other tribunals. Susan appeared before the Senate of Canada Standing Committee on Banking, Trade and Commerce regarding amendments to the Canada Business Corporations Act.

Susan has practiced at leading commercial law firms in Canada, acted as enforcement counsel at both the OSC and CIRO (IIROC), and served as a policy advisor to two Attorneys General of Ontario. She speaks regularly on securities regulatory issues; capital market disputes and matters of corporate governance and has taught administrative law.

Susan is a member of the FP Canada Disciplinary Hearing Panel Roster and a supervising lawyer for the Osgoode Investor Protection Clinic and was a member of the OSC Securities Proceedings Advisory Committee.

11:00 - 11:15am

BREAK

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11:15am - 12:00pm

"AI and How it Impacts Us"



Hélène Deschamps Marquis, Partner AI Practice Lead
and National Co-Leader, Privacy and Cyber Security
Borden Ladner Gervais

Hélène has over 25 years of market-leading experience in advising many of Canada's major institutions on managing complex legal and business risks, in respect of cybersecurity, information technology, privacy, and artificial intelligence. Her practice includes breach and incident response, regulatory compliance, and global data and privacy frameworks, as well as the negotiation of complex cross-border technology arrangements and transactions.

Hélène excels at assisting board members and general counsel grasp complex IT issues and related regulatory requirements, hence contributing to organizational resilience through informed decision-making. Her clients span multiple sectors, including energy, financial services, public sector, health care, and transportation.

To learn more about Hélène, [click here](#)

12:00 - 1:00pm

LUNCH (complimentary/provided)

1:00 - 2:00pm

"That's a Good Question" (panel discussion)



Facilitator:

Gary Legault, CPA, Compliance Consultant
Legault Compliance Consulting

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

Prior to that, 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, deposit, and insurance brokerage activities.

Gary has actively participated in the Association of Canadian Compliance Professionals (ACCP) since 2000, and he is the current ACCP Vice Chair.

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1:00 - 2:00pm



"That's a Good Question" (cont.)

Panelists:

Maria Jose Flores Suarez, President and Chief Compliance Officer
Carte Wealth Management Inc.

Maria Jose Flores' journey with Carte Wealth Management Inc. is an inspiring testament to resilience, dedication, and leadership. Seventeen years ago, she arrived from Ecuador as a co-op student, navigating the challenges of a new language and environment. With the mentorship of Carte's founder, Kirk Purai, she quickly adapted, honed her skills, and began a professional journey that would ultimately position her as one of Canada's leading voices in compliance and wealth management.

Her expertise in recruiting, training, and compliance became a cornerstone of Carte's culture of integrity. In 2014, Maria was appointed Chief Compliance Officer, a pivotal milestone that elevated Carte Wealth Management Inc. and Carte Risk Management Inc. to national recognition. Under her leadership, both firms earned multiple prestigious compliance awards, reflecting her unwavering commitment to excellence and her meticulous attention to regulatory standards.

To learn more about Maria, [click here](#)



David Grad, Executive Vice-President, General Counsel, Corporate Secretary, Chief Compliance Officer, Chief AML Officer, Privacy Officer, Primerica Financial Services (Canada) Ltd.

David has over 30 years of experience in various legal and compliance roles within the financial services industry having worked with mutual fund dealers, banks and insurance companies since being called to the Bar of Ontario in 1991. His role with Primerica has him overseeing and managing the Legal, Regulatory Compliance and Market Conduct Departments comprised of over 50 professional and support personnel. 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 market conduct of Primerica Canada's exclusive sales force of over 10,000 independent representatives.

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1:00 - 2:00pm



"That's a Good Question" (cont.)

Som Houmphanh, Chief Compliance Officer
Sterling Mutuals Inc.

During my career in the financial services industry, I have held a variety of leadership roles with Financial Institutions and Independent Dealership, prior to assuming my current role with Sterling Mutuals Inc. I have spent the past several years integrating myself into the independent dealership environment as a former President, current Chief Compliance Officer and former Branch Manager, while continuing to be involved with organizations such as The Independent Financial Brokers of Canada, The Federation of Mutual Fund Dealers and serving on the Board of Directors for the Association of Canadian Compliance Professionals, the Independent Financial Brokers of Canada and the Life Insurance Council of Saskatchewan.

2:00 - 2:45pm



"Power of Attorneys and Trusted Contact Person"

Power of Attorneys and Trusted Contact Persons play key roles in safeguarding client interests, especially they age or face health challenges. This session will dive into these invaluable tools their import as Canadian populations age.

Maureen Doherty, Borden Ladner Gervais (BLG)

Maureen specializes in resolving complex securities and banking litigation disputes, regulatory proceedings, and advising on internal investigations for public and private companies, as well as individuals.

Maureen's areas of focus include:

- Securities litigation and regulatory work, including broker liability and departing advisor litigation, as well as investigations and proceedings before Provincial Securities Commissions and CIRO.
- Conducting complex internal and external investigations.
- Banking litigation, including bills of exchange.
- Class actions, including securities class actions, unpaid wages class action and investor loss class actions.
- General commercial litigation, including enforcement matters and fraud.

Prior to joining the firm as an associate, she summered and articulated in BLG's Toronto office.

To learn more about Maureen, [click here](#)

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2:00 - 2:45pm



"Power of Attorneys and Trusted Contact Person" (cont.)

Graham Splawski, Borden Ladner Gervais (BLG)

Graham Splawski is trusted by some of Canada's largest corporations to manage their highest risk, most complex disputes and investigations with creativity and precision. He is a core member of BLG's securities and class actions teams, delivering landmark results in prominent civil litigation and regulatory matters.

Graham secured a major victory for Amazon in a proposed employment class action brought on behalf of 73,000 delivery drivers; achieved complete exoneration for Cormark Securities, one of Canada's largest independent investment banks, in an Ontario Securities Commission prosecution; and regularly represents major financial institutions like Scotiabank and Bank of Montreal, including at the Supreme Court of Canada in the leading case on bills of exchange and cheque fraud.

He also regularly advises on confidential internal and regulatory investigations. Graham is ranked by Chambers Canada as a leading securities litigator. Clients describe him as someone who "can cut to the chase and get to the bottom of issues" and as "incredibly responsive," a "very effective people manager," and having "a high degree of knowledge and professionalism." He has been recognized by Benchmark Litigation as a Future Star since 2023.

A skilled trial lawyer, Graham has appeared before all levels of court in Ontario including the Commercial List, the Federal Court and the Federal Court of Appeal, regulatory tribunals, arbitrators and the Supreme Court of Canada.

To learn more about Graham, [click here](#)

2:45 - 3:00pm

BREAK

3:00 - 4:00pm



"What's New at CIRO"

A discussion of all the five phases of the proposed harmonization dealer member rules and their impact on mutual fund dealers and other new rules that affect mutual fund dealers

William (Bill) Donegan, Senior Compliance Consultant
Borden Ladner Gervais (BLG) Beyond AUM Law

Bill is a Senior Compliance Consultant at BLG Beyond AUM Law, with extensive knowledge and experience with wealth management and distribution firms. In his role, he provides senior level advisory services to registered individuals, firms and dealers, on all aspects of their securities regulatory compliance obligations and the implementation of securities regulatory requirements.

Bill has particular expertise in navigating compliance for Canadian Investment Regulatory Organization (CIRO) investment dealers and mutual fund dealers. He is well positioned to assist firms with understanding and navigating the opportunities and implications resulting from the recent creation of CIRO. His compliance advisory services include working with registered dealer firms, portfolio managers and investment fund managers, as well as engaging with securities regulators in connection with conduct matters, complaints, investigations, audits and remediation plans. He also provides support for the application and interpretation of complex business conduct policies and procedures.

Bill provides expert and in depth "real life" training to executive, staff and representatives of firms in areas such as identifying and mitigating conflicts of interest, KYC, KYP and assessing suitability.

To learn more about William, [click here](#)

4:00 pm

Closing Remarks

Manny DaSilva, Chair
Association of Canadian Compliance Professionals