The Association of Canadian Compliance Professionals **Annual Member Conference**

# COMPLIANCE IN A NEW REGULATORY ERA

## DETAILED EVENT SCHEDULE

SPEAKER BIOGRAPHIES

**9:30am - 10:00am** | **Registration and Networking**

**10:00am - 10:15am** | **Welcome and Opening Remarks**



**Manny DaSilva,** Master of Ceremonies
CANFIN Wealth Management

Manny brings more than 30 years of experience in the financial services industry, including over three decades with CANFIN Wealth Management. Throughout his distinguished career, he served in a wide range of leadership and operational roles, including Representative, Manager, Compliance Officer, Vice President of Marketing, Chief Compliance Officer, President, and Ultimate Designated Person (UDP).

This diverse experience provided Manny with a unique and well-rounded perspective on the financial services industry. His ability to understand the challenges and opportunities faced by advisors, management, and the organization as a whole, enabled him to make informed decisions and lead with both strategic insight and practical experience.

Now semi-retired, Manny continues to serve as a Representative with CANFIN Wealth Management, remaining connected to the industry and the clients and advisors he has supported throughout his career.

Manny is a Past Chair of the Association of Canadian Compliance Professionals (ACCP) and remains an active member. Through his longstanding involvement, he has contributed to the promotion of industry best practices and the ongoing evolution of compliance excellence across Canada's financial services sector.

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**10:15am - 11:00am**

**"The Compliance Officer of the Future"**

*In an era of rapidly evolving regulation, artificial intelligence, cyber risk, and heightened stakeholder expectations, the role of the compliance officer is undergoing a fundamental transformation. No longer limited to monitoring rules and mitigating risk, tomorrow's compliance leaders will serve as strategic advisors, leveraging technology, data analytics, and business insight to help organizations navigate complexity while fostering a culture of integrity, accountability, and trust. This keynote explores the skills, mindset, and capabilities that will define the compliance officer of the future and the critical role they will play in shaping resilient and responsible organizations.*



**David Di Paolo,** National Managing Partner and CEO
Borden Ladner Gervais

As national managing partner and CEO of BLG, David is building the law firm of the future: agile, innovative and delivering exceptional work with unmatched efficiency. He combines the discipline of a highly ranked litigator with the vision of a transformational leader, testing new ideas, investing in talent and setting new standards for performance.

Over more than two decades, David has acted for leading financial institutions, public companies, regulators and professionals in some of the country's most complex commercial, securities and class action matters, including before the Supreme Court of Canada. Clients trust him to manage risk, protect reputation and deliver clarity when it counts. Before becoming national managing partner, he co-led BLG's 400-member disputes group and served on the firm's Partnership Board, where he continues to serve.

A lifelong resident of Hamilton – a city known for its industrial grit and creative resurgence – David is a decisive, pragmatic and open-minded leader who isn't afraid to get his hands dirty. He built his nationally respected career at BLG because of the meaningful work, distinguished mentors and a culture that rewards initiative and collaboration. As national managing partner, he's focused on what matters most to organizations facing complex challenges and pursuing transformative opportunities: strengthening systems, setting expectations and fostering a culture that inspires BLG's teams to deliver consistent value across practices, industries and offices.

David is ranked among Canada's top litigators by *Chambers Canada*, *Legal 500*, *Lexpert*, *Benchmark Canada* and *Best Lawyers*. In 2025, he was named Securities Litigator of the Year by *Benchmark Litigation*.

***To learn more about David, click here***

**11:00 - 11:15am** **BREAK**

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**11:15am - 12:00pm**

**"Regulatory Transformation"**



**Prema Thiele,** Partner
Borden Ladner Gervais

Prema is a senior partner in the Corporate and Capital Markets Group at Borden Ladner Gervais LLP (BLG), one of Canada's leading national law firms. Over a distinguished 30-year career with BLG, she has held several senior leadership roles, including serving two terms as National Group Head, Corporate & Capital Markets, and as a member of the firm's senior management team and Partnership Board. She has played a key role in shaping the firm's strategic direction, growing its business, and developing the next generation of legal leaders.

Recognized as one of North America's foremost investment management and financial services regulatory lawyers, Prema has helped establish BLG as a market leader in investment funds, registrant regulation, and compliance. She advises leading global investment fund organizations, securities industry participants, and capital markets stakeholders, and has been at the forefront of innovation in financial services and digital wealth platforms.

A highly respected industry leader, Prema has contributed extensively to regulatory and public policy development through roles including three consecutive terms on the Ontario Securities Commission's Registrant Advisory Committee and Chair of the Toronto Board of Trade's Business Affairs Committee. In 2020, she was named one of the Women's Executive Network's Top 100 Most Powerful Women in Canada and received the CIBC Executive Leaders Award in recognition of her leadership and impact on the legal profession.

**12:00pm - 1:00pm** **LUNCH (complimentary/provided)**

**1:00pm - 1:45pm**

**"AI Technology 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 advising many of Canada's foremost institutions on managing complex legal and business risks related to cybersecurity, privacy, information technology, and artificial intelligence.

Her practice encompasses AI governance and compliance, incident and breach response, global data protection frameworks, and the negotiation of cross-border technology transactions. She frequently advises boards and general counsel on emerging digital risks and regulatory developments, helping them strengthen organizational resilience and strategic decision-making in a rapidly evolving environment.

Hélène was named "Lawyer of the Year" in 2026 for Information Technology Law by Best Lawyers in Canada and is Band 1 for Artificial Intelligence (Nationwide – Canada) in Chambers Canada 2027.

***To learn more about Hélène, click here***

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**1:45pm - 2:30pm** **"Enforcement & Supervision"**



**Maureen Doherty,** Partner and National Co-Leader, Financial Institutions Group
Borden Ladner Gervais

Maureen Doherty is a trusted and pragmatic litigator who guides clients through complex commercial litigation including, securities and banking disputes, regulatory proceedings and internal and external investigations. She defends clients across Canada in securities and banking litigation and helps them navigate regulatory enforcement matters, including broker liability cases, departing advisor disputes, and investigations before provincial securities commissions and the Canadian Investment Regulatory Organization (CIRO).

Maureen regularly acts for financial institutions and individual clients in proceedings involving market manipulation, suitability and insider trading. In supporting dealer and individual clients, she conducts complex internal and external investigations for clients when dealing with securities and regulatory breaches. She also has a broad banking litigation practice, defending financial institutions in respect of bills of exchange disputes and various class actions. Her practice extends to general commercial litigation, including fraud, competition matters and oppression disputes.

***To learn more about Maureen, click here***

**2:30pm - 2:45pm** **BREAK**

**2:45pm - 3:55pm** **"That's a Good Question"** (panel discussion)



**Facilitator:**
**Linda Anderson,** Vice President, Field Management/Compliance
PFSL Investments Canda Ltd.

Ms. Linda Anderson brings over 30 years of experience in the insurance and mutual fund industries. A founding member of the Association of Canadian Compliance Professionals (ACCP) and a member of its Board of Directors since 2014, Linda has been a dedicated advocate for regulatory excellence and industry collaboration throughout her career.

Linda is widely recognized for her commitment to advancing the financial services industry through active participation in regulatory and industry initiatives. She served on the MFDA Central Regional Council beginning in 2006, including 12 years as Vice-Chair and Chair, until the creation of CIRO. Following the amalgamation of the MFDA and IIROC, she has continued her regulatory leadership as a member of the CIRO Ontario Regional Council. She has also participated in numerous industry working groups and consultations, helping to shape regulatory and compliance practices across the sector.

Linda's passion for the compliance profession, extensive leadership experience, and collaborative approach have made her a respected voice within the Canadian financial services and compliance community.

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**2:45pm - 3:55pm**

**"That's a Good Question"** (cont.)
**Panelists:**



**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.



**Serge Vaillancourt,** Manager Compliance and Advisor Relations
GP Wealth Management

Serge Vaillancourt is a compliance professional with more than 25 years of experience in the mutual fund dealer industry. He has held compliance and operations roles with firms of varying sizes, developing expertise in advisor supervision, regulatory compliance, branch audits, complaint investigations, registration, and regulatory examinations.

Recognized for his practical and collaborative approach, Serge has supported significant regulatory initiatives, including the Client Focused Reforms. He has worked closely with dealer operations teams and technology providers to translate evolving regulatory requirements into effective policies, procedures, and operational controls that support both compliance and business efficiency.

As Manager, Compliance & Advisor Relations, Serge plays a key role in advisor education and compliance oversight. He delivers training and guidance to advisors, helping them understand not only regulatory obligations but also the investor protection principles that underpin them. He also partners with operations and supervisory teams to embed compliance best practices into everyday workflows, fostering a culture of accountability, risk awareness, and client-focused service.

**2:45pm - 3:55pm**

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



**William (Bill) Donegan,** Principal Consultant
W Donegan Wealth Compliance

Bill is a lawyer, regulatory compliance consultant, and former Chief Compliance Officer with more than two decades of experience in the Canadian wealth management and securities industry.

As Principal Consultant at W Donegan Wealth Compliance, he provides practical legal and compliance advice to investment dealers, mutual fund dealers, portfolio managers, exempt market dealers, and registered individuals.

Bill has held senior compliance and governance roles with major financial institutions, including Manulife Wealth, Scotiabank, and Worldsource, and previously served as a Senior Compliance Consultant with BLG/AUM Law.

Recognized for his extensive expertise in CIRO regulatory requirements, securities law, privacy, governance, and risk management, he is a frequent writer and speaker on regulatory developments affecting the Canadian financial services industry.

Bill combines deep regulatory knowledge with hands-on industry experience to help firms navigate complex compliance challenges and achieve practical business solutions.

**3:55pm to 4:00pm**

**Closing Remarks**

**Manny DaSilva,** Master of Ceremonies
CANFIN Wealth Management