

Agenda

8:00 – 9:00		<i>Registration / Continental Breakfast</i>		
9:00 – 9:30	General Session Room 106	Introductory Remarks	Andrew Kriegler President & CEO, IIROC	
9:30 – 10:00		Keynote Speaker	The Honourable Charles Sousa Ontario Minister of Finance	
10:00 – 10:30		IIROC Regulatory Priorities	Doug Harris, Vice President & General Counsel, IIROC Wendy Rudd, Senior Vice President, Market Regulation, IIROC	
10:30 – 10:45		<i>Break</i>		
10:45 – 11:15		Cyber-Security	Paul Haynes, CEO, eSentire Inc.	
11:15 – 11:30		Business Conduct Compliance & Trading Conduct Compliance Updates	Mike Prior, Vice President, Market Surveillance, IIROC Joe Yassi, Vice President, Business Conduct Compliance & Member Education Services, IIROC	
11:30 – 12:15		Dealing with Seniors and Vulnerable Clients	Laura Paglia, Partner, BLG	
12:15 – 1:15		<i>Lunch to be provided</i>		
1:15 – 2:15	Workshop #1	Financial & Operations Update – Part 1 (Room 106) Presenters: Stephen Warden (MNP LLP, Brokers' Auditor Committee) Marsha Gerhart (IIROC) Dennis Dirksen (IIROC)	Market Structure (Room 104 BCD) Panel: Dan Kessous (Chi-X Canada), Heather Killian (CIBC World Markets), Kevin McCoy (IIROC), Tracey Stern (OSC) Moderator: Victoria Pinnington (IIROC)	
2:15 – 3:15	Workshop #2	Financial & Operations Update – Part 2 (Room 106) Presenters: Catherine Drennan (IIROC) Suzanne Lasrado (IIROC)	Enforcement & Registration Update (Room 104 BCD) Panel: Sandra Blake (IIROC), Alexandra Clark (IIROC), Ralph Gaston (IIROC) Moderator: Elsa Renzella (IIROC)	
3:15 – 3:20		<i>Break</i>		
3:20 – 4:20	Workshop #3	Underwriting Due Diligence (Room 104 BCD) Panel: David Wright (IIROC), Neill May (Goodmans LLP), Robert Richardson (CIBC) Moderator: Victor Peter (IIROC)	Cyber-Security (Room 106) Panel: Maysar Al-Samadi (IIROC), Brenda McCulloch (IIROC), others TBD Moderator: Ian Campbell (IIROC)	