



## REGISTRANT OUTREACH WORKSHOP AGENDA

**Wednesday, November 12, 2014**

2.00 – 4.00 p.m.

UBC Robson Square, 800 Robson Street,  
Vancouver

1:30 to 2:00	SIGN IN AND NETWORKING OPPORTUNITY	
2:00 to 2:05	Welcome	Sandy Jakab, Director, Capital Markets Regulation, BCSC
2:05 to 2:40	Panel discussion – Aging investor demographics – its impact on your business	Mark French, Manager, Dealer Compliance, CMR, BCSC (moderator and participant)  Amanda Archibald, Vice President Compliance, Raymond James  Martha Kane, Acting Manager, Adviser/IFM Compliance , CMR, BCSC
2:40 to 2:50	Q&A	Mark French (moderator)
2:50 to 3:00	Status updates	
	<ul style="list-style-type: none"> <li>NI 31-103 amendments</li> </ul>	Lindy Bremner, Acting Manager, Legal Services, CMR, BCSC
	<ul style="list-style-type: none"> <li>Client Testimonials</li> </ul>	Edwin Leong, Senior Compliance Analyst, Adviser/IFM Compliance, CMR, BCSC
	<ul style="list-style-type: none"> <li>Results of Communications Survey of Registrants</li> </ul>	Martha Kane, Acting Manager, Adviser/IFM Compliance , CMR, BCSC
3:00 to 3:10	Q&A	Martha Kane (moderator)
3:10 to 3:45	Panel discussion – Creating a culture of compliance - compliance reviews and enforcement processes	David Rajanayagam, Compliance Analyst, Adviser/IFM Compliance, CMR, BCSC  Kristine Mactaggart Wright, Senior Litigation Counsel, Enforcement, BCSC
3:45 to 3:55	Q&A	Brenda Benham (moderator)
3:55 to 4:00	Closing	Brenda Benham, Senior Corporate Communications Advisor, C&E, BCSC



Amanda Archibald is a VP, Compliance at Raymond James Ltd. where she joined in January, 2008. She is licensed in Canada with IIROC as a Supervisor, RR and AROP and with FINRA as a Registered Principal. In her current role, she oversees development and management of the firm's AML and Privacy programs, the Branch Review program and the Private Client Group compliance regime. She is also heavily engaged in Regulatory initiatives, compliance education and project management at Raymond James. Amanda has been in the financial services industry for 20 years, and developed broad Industry experience prior to commencing her work in Full Service brokerage, including Stock Transfer, Operations for a group of Canadian listed Public companies and Asset Management and Reporting at an Investment Counsel. She currently chairs the IIROC AML Sub-Committee, and represents Canada as a Securities Sector AML subject matter expert with the Department of Finance's Public and Private Sector Advisory Committee.

**AMANDA L. ARCHIBALD, CAMS**  
Vice-President, Compliance & AROP