



REGISTRANT OUTREACH WORKSHOP AGENDA

Thursday, March 7, 2013

2.00 – 4.00 p.m.

BCSC Office, 701 West Georgia Street,
Vancouver

12th Floor, Main Hearing Room

NOTE: THIS WORKSHOP SOLELY FOCUSES ON EXEMPT MARKET DEALERS

1:30 to 2:00	SIGN IN, COFFEE AND NETWORKING OPPORTUNITY	
2:00 to 2:05	Welcome	Sandy Jakab, Director, Capital Markets Regulation, BCSC
2:05 to 2:30 2:30 to 2:35	The basics about Exempt Market Dealers Questions	David Gilkes, Exempt Market Dealers Association
2:35 to 3:00 3:00 to 3:05	Ethics for Exempt Market Dealers Questions	Andre Fok Kam, IFSE Institute
3:05 to 3:15	COFFEE AND NETWORKING OPPORTUNITY	
3:15 to 3:25	The Registration Process	Nirwair Sanghera, Compliance Examiner
3:25 to 3:50	The Regulators Perspective – Report on Exempt Market Dealer Deficiencies and Compliance	Ray Harding, Senior Compliance Examiner Mark French, Manager, Dealer Compliance All from Capital Markets Regulation, BCSC
3:50 to 3:59	Questions	
3:59 to 4:00	Evaluation Forms	



David Gilkes, Vice Chair, Exempt Market Dealers Association of Canada and President, North Star Compliance & Regulatory Solutions Inc.

David has over 30 years of experience in research, investigation and regulation of firms in the financial services industry including 7 years at the Ontario Securities Commission. David is the Vice Chair of the Exempt Market Dealers Association of Canada and the President of North Star Compliance & Regulatory Solutions Inc.

The EMDA is a not-for-profit association founded in 2002 to be the national voice of exempt market issuers, exempt market dealers and participants in the exempt market across Canada. Additional information about the EMDA is located on its website at: www.emdacanada.com.

North Star provides regulatory and strategic consulting to firms in the securities and investment management industry. North Star focuses on matters relating to registration, compliance, business conduct, operations, finance, anti-money laundering and enforcement.

David was the Manager of Registrant Regulation for the OSC, where he oversaw the registration and conduct of over 60,000 individuals and firms in Canada's largest capital market. He was also Chair of the Canadian Securities Administrators Standing Committee on Registrant Regulation. David started his career in research, investigation and regulation of firms and markets working with the Competition Bureau of the Federal Government. David has also worked in a consulting capacity to firms in the financial services industry while at Deloitte and Touche, and at Sutton Boyce Gilkes Regulatory Consulting Group.

David earned his B.A. in Economics from McMaster University and his M.A. in Economics from Carleton University.

André Fok Kam, CA, MBA

André Fok Kam advises businesses and regulators on regulatory and compliance matters. He was previously an investment director at a major institutional investor. He holds a BSc (Economics) with First Class Honours from the London School of Economics and an MBA from McGill University. He is a Fellow of the Institute of Chartered Accountants in England and Wales and a member of the Canadian Institute of Chartered Accountants.

André is the author of *From Conflict to Trust: How Mutual Funds Manage Conflicts of Interest* (Toronto: Carswell, 2009) and a regular contributor to *Advisor's Edge Report*. He has developed several courses for the IFSE Institute, the educational arm of the Investment Funds Institute of Canada.

He has served on the Board of Directors of several fund managers, portfolio advisers and dealers. He is currently a member of the Independent Review Committee of the Standard Life Mutual Funds and the Landry Morin Mutual Funds.