



## Registrant Outreach Workshop

### Agenda

Thursday, October 27, 2022

1:30 – 3:00 p.m.

Microsoft Teams virtual room

<b>1:15 to 1:30</b>	<b>Teams Meeting Room Open for Sign in</b>
<b>1:30 to 1:35</b>	<b>Welcome</b> Mark Wang, Director, Capital Markets Regulation
<b>1:35 to 2:00</b>	<b>Client focused reforms: findings from conflict of interest sweep</b> Edwin Leong, Lead Compliance Analyst, Adviser/IFM Compliance Colleen Ng, Senior Compliance Analyst, Adviser/IFM Compliance Crystal He, Senior Compliance Analyst, Dealer Compliance
<b>2:00 to 2:20</b>	<b>Highlights from recent settlements and compliance actions</b> Jason Chan, Senior Compliance Analyst, Adviser/IFM Compliance Crystal He, Senior Compliance Analyst, Dealer Compliance Lucy Chen, Compliance Analyst, Dealer Compliance
<b>2:20 to 2:30</b>	<b>Break</b>
<b>2:30 to 2:45</b>	<b>Issues from the field</b> Colleen Ng, Senior Compliance Analyst, Adviser/IFM Compliance Jason Chan, Senior Compliance Analyst, Adviser/IFM Compliance Crystal He, Senior Compliance Analyst, Dealer Compliance Kai Shi, Compliance Analyst, Dealer Compliance
<b>2:45 to 2:55</b>	<b>Recent amendments to NI 33-109</b> Anne Hamilton, Senior Legal Counsel, Legal services
<b>2:55 to 3:00</b>	<b>Closing</b> Mark Wang, Director, Capital Markets Regulation