



Registrant Outreach Workshop

Agenda

Thursday, November 30, 2023

1:30 - 3:00 pm

Microsoft Teams Virtual Room

1:15 to 1:30	Teams Meeting Open for Sign in
1:30 to 1:35	Welcome Mark Wang, Director, Capital Markets Regulation
1:35 to 1:50	Registration RIME (Relevant Investment Management Experience) Edwin Leong, Lead Compliance Analyst, Adviser/IFM Compliance Robert Frey, Registration Officer, Registration
1:50 to 2:05	Enforcement Actions and lessons learned Jason Chan, Senior Compliance Analyst, Adviser/IFM Compliance Janice Leung, Manager, Adviser/IFM Compliance
2:05 to 2:10	Break
2:10 to 2:25	BCSC's new Whistleblower Program Mark Hilford, Deputy Director, Enforcement Janice Leung, Manager, Adviser/IFM Compliance
2:25 to 2:55	Issues from the Field Colleen Ng, Senior Compliance Analyst, Adviser/IFM Compliance Crystal He, Senior Compliance Analyst, Dealer Compliance Edwin Leong, Lead Compliance Analyst, Adviser/IFM Compliance
2:55 to 3:00	Closing Mark Wang, Director, Capital Markets Regulation