



Registrant Outreach Workshop

Agenda

Thursday, October 14, 2021

1:30 – 3:00 p.m.

Webex virtual room

1:15 to 1:30	Webex Room Open for Sign in
1:30 to 1:35	Welcome Mark Wang, Director, Capital Markets Regulation
1:35 to 2:20	Issues from the Field Colleen Ng, Senior Compliance Analyst, Adviser/IFM Compliance Jason Chan, Senior Compliance Analyst, Adviser/IFM Compliance Grace Yu, Senior Compliance Analyst, Dealer Compliance Crystal He, Senior Compliance Analyst, Dealer Compliance
2:20 to 2:30	Break
2:30 to 2:40	Vulnerable investors – National Instrument 31-103 amendments Colleen Ng, Jason Chan, Grace Yu, Crystal He
2:40 to 2:55	3 Myths about Securities Law Enforcement in BC Doug Muir, Director, Enforcement
2:55 to 3:00	Closing Mark Wang, Director, Capital Markets Regulation