



REGISTRANT OUTREACH WORKSHOP AGENDA

Wednesday, April 13, 2016

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	Mark Wang, Director, CMR, BCSC
2:05 to 2:20	Captive Dealers	Mark French, Manager, Dealer Compliance, CMR, BCSC Vida Mehin, Compliance Analyst, Adviser/IFM Compliance, CMR, BCSC
2:20 to 2:30	Q&A – Captive Dealers	Mark French (see above) Vida Mehin (see above)
2:30 to 2:40	Updates from Corporate Finance	Leslie Rose, Senior Legal Counsel, Corporate Finance, BCSC
	<ul style="list-style-type: none">• Cease trade orders – application across Canada• Acknowledgement from accredited investors	
2:40 to 2:45	Q&A – Updates from Corporate Finance	Leslie Rose (see above)
2:45- 3:00	CMR – Issues from the Field	Ray Harding, Lead Compliance Examiner, Dealer Compliance, CMR, BCSC Jonathan Lee, Senior Compliance Analyst, Adviser/IFM Compliance , CMR, BCSC
3:00 to 3:05	Q&A – CMR – Issues from the Field	Ray Harding (see above) Jonathan Lee (see above)
3:05 to 3:15	REFRESHMENT BREAK	
3:15 – 3:45	Panel discussion – CRM2 – Implementation from perspective of dealers and advisors	Vida Mehin - Moderator (see above) Don Campbell, Compliance and Regulatory Counsel, Canadian Compliance & Regulatory Law Brinsley Saleken, Chief Compliance Officer, MacDonald Shymko & Company Ltd. Colette Ward, Chief Compliance Officer, ACM Advisors Ltd.
3:45 to 3:55	Audience questions about CRM2 –	Vida Mehin - Moderator (see above)
3:55 to 4:00	Closing	Brenda Benham, Senior Corporate Communications Advisor, C&E, BCSC



Don Campbell
Compliance and Regulatory Counsel
Canadian Compliance & Regulatory Law

Biography:

Don has been practicing law in Winnipeg since 1990. He was previously the National Director of Compliance for IQON Financial, a 400 advisor mutual fund dealer based in Winnipeg and prior to that was Legal Counsel, Compliance, with Assante Asset Management Ltd. Since 2003 he has provided legal counsel and compliance oversight to primarily portfolio management firms, and to a lesser extent dealers, located throughout Canada.



Brinsley Saleken
Director and Chief Compliance Officer
Macdonald, Shymko & Company Ltd.

Biography:

Brinsley has been with Macdonald, Shymko & Company Ltd. since 1997 and a Director / Owner since 2000. In addition to being the firm's Chief Compliance Officer, he is also an active advisor. Macdonald Shymko has been providing comprehensive and holistic financial advisory services to its private clients since 1972. Brinsley is a Canadian Investment Manager, Certified Financial Planner, and a Registered Financial Planner.



Colette Ward
Chief Compliance Officer
ACM Advisors Ltd.

Biography:

Colette has been in the investment fund management industry for 9 years. In addition to being Chief Compliance Officer at ACM Advisors, Colette is involved in fund operations, accounting, and IT. ACM Advisors Ltd. is a fund management company specializing in the origination and underwriting of commercial mortgages for the Canadian marketplace. Prior to joining ACM, Colette worked for several years at Steadyhand Investment Funds. Colette is a member of the Chartered Professional Accountants of BC holding the CPA, CMA designation and a Chartered Investment Manager (CIM®).