



ROUNDTABLE
Proposed Targeted Reforms to Enhance the
Client-Registrant Relationship

AGENDA
Tuesday, November 29, 2016
2:00 – 4:00 p.m.
BC Securities Commission
Vancouver

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| 1:30 to 2:00 | SIGN IN AND NETWORKING OPPORTUNITY | |
| 2:00 to 2:05 | Welcome | Nigel Cave, Vice-Chair, BCSC |
| 2:05 to 2:10 | Introduction | Sarah Corrigan-Brown, Associate General Counsel, OTC BCSC |
| 2:10 to 2:30 | Suitability / Know Your Client / Know Your Product | Mark Wang, Director, CMR, and Sarah Corrigan-Brown, Associate General Counsel, OTC BCSC - Moderators |
| 2:30 to 2:50 | Conflicts | Mark Wang, Director, CMR, and Sarah Corrigan-Brown, Associate General Counsel, OTC BCSC - Moderators |
| 2:50 to 3:00 | REFRESHMENT Break | |
| 3:00 to 3:20 | Titles / Relationship Disclosure / Proficiency | Mark Wang, Director, CMR, and Sarah Corrigan-Brown, Associate General Counsel, OTC BCSC - Moderators |
| 3:20 to 3:55 | Other Comments | Mark Wang, Director, CMR, and Sarah Corrigan-Brown, Associate General Counsel, OTC BCSC - Moderators |
| 3:55 to 4:00 | Closing | Mark Wang, Director, CMR, BCSC |