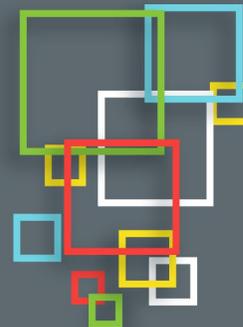


2023 OPERATIONS DAY

Tuesday, May 30, 2023 | Toronto Region Board of Trade, First Canadian Place



8:00 am – 9:00 am

Registration and Breakfast

Sponsored by:



INTERNATIONAL FINANCIAL
DATA SERVICES

9:00 am – 9:15 am

CONFERENCE WELCOME

[Andy Mitchell](#), President & CEO, IFIC

9:15 am – 10:10 am

LEADERS PANEL

While change is a constant, it is clear the investment funds industry is heading into a particularly exciting and dynamic period. The creation of the New SRO in January and the beginning of the highly complex implementation of total cost reporting rules are just two examples where the industry will head into largely uncharted territory. Our panel of industry leaders will share their views on rising to today's big challenges along with what is coming next.

Moderator:

[Bill Charles](#), President, Global Maxfin Investments

Panelists:

[Richard Anton](#), Chief Operations Officer, CIBC Mellon

[Robert Ebel](#), Chief Operating, Privacy and Compliance Officer, Fundserv Inc.

[Paige Wadden](#), CCO Brokerage Services, Fidelity Clearing Canada ULC | VP, Compliance, CCO Dealers, Fidelity Investments Canada ULC

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10:10 am – 10:30 am

NEW SRO UPDATE

The formation of the New SRO through the merger of IIROC and the MFDA marked the start of an important industry evolution. Where have staff been focusing their efforts since the effective date earlier this year? What efficiencies and opportunities might a dealer experience if it becomes registered under the new dual registration category? New SRO staff will answer these questions and shed light on the rule book consolidation process, including expected timing for consultations and for finalizing the rule book.

[Richard Corner](#), Vice President and Chief Policy Advisor, Member Regulation, New Self-Regulatory Organization of Canada

<p>10:30 am – 10:50 am</p>	<p>Morning Networking Break</p>
<p>10:50 am – 11:30 am</p> <p>FHSA AND PRIVACY OPERATIONAL IMPACTS UPDATE</p> <p>Privacy is a critical element of the investment funds industry and how it protects its clients. Our panel of experts will discuss operational considerations arising from current and upcoming privacy legislation, including reviewing data and processes to ensure only the required amount of personal information is obtained and appropriately tagged, and retention and destruction processes are followed. This session will also include an update on the first home savings account (FHSA), including key administration challenges and points to consider as this new plan gets implemented.</p>	<p>Moderator: Kim Barrett, Director, Regulatory and Compliance, LTIMindtree</p> <p>Panelists: Josée Baillargeon, Senior Policy Advisor, IFIC</p> <p>Dara Moore, AVP, Regulatory & Operations Compliance, AGF Investments Inc.</p>
<p>11:30 am – 12:00 pm</p> <p>FUNDSERV AND T+1 UPDATE</p> <p>Leaders from Fundserv will discuss their Paperless Initiative, including the Universal EPA, removing cheques as a settlement method and Distributor Standards Adherence. This session will also include details about plans to move Canada’s capital markets to a T+1 settlement cycle to align with the U.S. implementation in May 2024. Learn more about what is taking to place to operationalize this transition.</p>	<p>Speakers: James Stares, Head of Solutions & Services, Fundserv Inc.</p> <p>Russ White, Director, Product Management, Fundserv Inc. and Chair, CCMA T+1 Mutual Funds Working Group</p> <p><i>Sponsored by:</i></p> <div data-bbox="894 999 1320 1079" style="border: 1px solid black; padding: 5px; text-align: center;"> <p>CIBC MELLON</p> </div>
<p>12:00 pm -1:20 pm</p>	<p>Networking Lunch</p>
<p>1:20 pm – 2:15 pm</p> <p>DIGITAL TRANSFORMATION</p> <p>As the world becomes increasingly digitized, the investment funds industry has responded by leveraging technology to create operational efficiencies. How have these advancements resulted in cost savings, increased security, and an enhanced client experience? Panelists discuss recent developments in digital transformation, including multifactor authentication, paper reduction and electronic delivery of client account documents, digitizing client servicing, and straight through processing.</p>	<p>Moderator: Sarvjeet Pamenter, Director, North America Business Services, FIS Global and Vice-Chair, IFIC Operations Working Group</p> <p>Panelists: Roma Lotay, Partner, Borden Ladner Gervais LLP (BLG)</p> <p>Phillippe Moser, Vice President Solutions & Business Change Management, IFDS</p> <p>Stefania Zilinkas, Senior Legal Counsel, Fidelity Investments Canada</p>
<p>2:15 pm – 2:35 pm</p>	<p>Afternoon Networking Break</p>

2:35 pm – 3:30 pm

TCR OPERATIONS ISSUES UPDATE

Total cost reporting (TCR) will ultimately benefit Canadian investors by providing them with more complete information about the funds they hold. Our panel of experts will delve into the complex operational impacts arising from the CSA's new TCR rule. This includes exchanging of fee information between manufacturers and dealers, dealer IT enhancements to calculate and provide the required fee information to clients, and timing considerations.

Moderator:

[Dave Howarth](#), Senior Vice-President, Operations at Primerica Financial Services and Chair, IFIC Operations Working Group

Panelists:

[Steve Braugiroux](#), Senior Manager, DORE, National Bank of Canada

[Ann Marie Gillingham](#), Chief Operating Officer, Vanguard Canada

[Ravi Ramaswamy](#), Vice President, Global Shareholder Services Franklin Templeton Investments and Chair, IFIC Full Cost Disclosure Sub-Group

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3:30 pm – 4:25 pm

GUEST KEYNOTE

Our guest keynote speaker is a digital transformation expert who helps organizations respond to the now and prepare for what's next — helping them rethink how they engage their customers, motivate their employees, operate their business units, and inject innovation into their solutions. He is among the few to be named to Forbes' "30 Under 30" list and has received over 50 domestic and international awards for business innovation and thought leadership.

[Andrew Au](#), Global Thought Leader on Digital Transformation and Culture Change

4:25 pm – 4:30 pm

CLOSING REMARKS

[Andy Mitchell](#), President & CEO, IFIC

4:30pm

Cocktail Reception