

Operations Day

2018 Thursday, November 15, 2018
Toronto Region Board of Trade

8:00 AM - 9:00 AM

Breakfast and Registration

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9:00 AM - 9:05 AM

Emcee Welcome

- [Sean Boulton](#), Manager, Corporate Communications and Stakeholder Relations Fundserv Inc.

9:05 AM - 9:10 AM

IFIC Welcome

- [Paul C. Bourque, Q.C. ICD.D.](#), President and CEO, IFIC

9:10 AM - 10:00 AM

Operations Working Group Update

Working group members will share updates on recently-concluded initiatives and current issues that the group is working on, including householding and default distribution options. Event attendees will have the chance to give input and shape the group's future agenda.

Speakers:

- [Eleanor Evans](#), Vice President Operations, Fidelity Investments Canada ULC
- [David Howarth](#), Senior Vice President, Operations, PFSL Investments Canada Ltd.
- [Mark Salvarinas](#), Manager, Operations, WFG Securities Inc.

10:00 AM - 10:20 AM

Regulatory Update

This panel will review a number of recent securities regulatory initiatives impacting the investment fund industry including: the Client Focused Reforms, the proposed ban on the DSC sales option, the proposed ban on trailer fees on the OEO platform and liquid alternative mutual funds. The panel will consider the operational implications of these initiatives.

Speakers:

- [Janet Salter](#), Senior Policy Advisor, IFIC
- [Russ White](#), Director, Product Management (Funds), Fundserv Inc.

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10:20 AM - 10:40 AM

Break

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10:40 AM - 11:40 PM

Cybersecurity

Cyber-threats to our industry are real, costly and increasingly complex. However, experts are fighting back, and winning. The focus of the panel discussion will be on threats to the investment industry, from both a fund manufacturer and fund distribution perspective. The panel will also cover the latest cybersecurity developments, how prepared the industry is to face new threats, and what more it can do to mitigate the risks.

Speakers:

- [Sajith \(Saj\) Nair](#), Partner, Cybersecurity & Privacy, PwC Canada
- [Mike Plantinga](#), Vice President, Head of Enterprise Security, CIBC Mellon

Moderator:

- [Karen Adams](#), President & CEO, Fundserv Inc.

11:40 AM - 12:00 PM

Fundserv Update

Join us for updates from Fundserv on their new developments, priorities and key initiatives.

Speaker:

- [Karen Adams](#), President & CEO, Fundserv Inc.

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12:00 PM - 1:15 PM

Networking Lunch

1:15 PM - 2:00 PM

Taxation Update

This panel will discuss IFIC's advocacy efforts on operational tax issues and the changes the CRA announced this summer to their CRS and FATCA guidance. This session will provide an update on how these changes impacts your businesses.

Speakers:

- [James Carman](#), Senior Policy Advisor, Taxation, IFIC
- [Dara Moore](#), Director, Regulatory and Retail Operations, AGF Investments Inc.
- [Jillian Nicolson](#), Partner, Leader, Operational Tax Practice Canada, Ernst & Young

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2:00 PM - 3:00 PM

Mental Health and the Financial Advice Relationship

Mental health issues, along with life stresses and investor gain/loss reactions to markets, are making it more and more difficult to keep clients on track to reach their financial goals. Financial advisors are experiencing tension in understanding their boundaries and responsibilities to their clients who are displaying mental health challenges. These challenges may cause them to fight, flight or freeze when it comes to their financial understanding and decision-making.

In conjunction with the Canadian Mental Health Association – Toronto Branch, Bridgehouse has developed a continuing education program and practical tools to help financial advisors identify red flags and understand their boundaries and responsibilities with their clients. Bridgehouse is sharing its findings and program to raise awareness of mental health challenges in the financial advice relationship and to help financial advisors help their clients prosper.

Speaker:

- [Carol Lynde](#), President & Chief Operating Officer, Bridgehouse Asset Managers

3:00 PM - 3:20 PM

Break

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3:20 PM - 4:00 PM

e-signatures – Where we are and where we are going

This session will provide an update about the E-signature working group's effort over the last year. A review of the e-signature framework developed in conjunction with Fundserv to support the acceptance of e-signed documents across the funds industry. Questions answered in this session include:

- Why was this framework needed?
- What do the Guidelines entail and how do they apply?
- How does Fundserv's Contract Addendum support the acceptance of e-signed documents between organizations?
- How is this framework being implemented and used by various IFIC members?
- Next steps for the working group

Speakers:

- [Aidan Coulter](#), Senior Strategic Outreach Manager, Fundserv
- [Bill Devolin](#), Director of Industry Relations, Manulife Financial

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4:00 PM – 4:05 PM

Closing Remarks

4:05 PM – 6:00 PM

Cocktail Reception