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Tips for Traders Montreal – November 29, 2018

Keeping up on developments in today's marketplace is a challenge. New developments in products, trading technologies and the increasing globalization of our industry make for a landscape that is constantly changing. To help you understand the compliance issues associated with this environment, the Investment Industry Regulatory Organization of Canada (IIROC) is pleased to invite you to attend "Tips for Traders Montreal", which will be held on Thursday, November 29, 2018, from 4:30-6:00 pm, at the Club Saint-James, Salle St-Denis, 2nd Floor, 1145, avenue union. The majority of the event will be presented in English.

IIROC's Claudyne Bienvenu, Vice-President, Québec and Atlantic Canada and Victoria Pinnington, Senior Vice-President, Market Regulation, will be making opening remarks. Alex Taylor, Vice-President, Market Surveillance, Sonali GuptaBhaya, Director, Market Regulation Policy and Michael Librizzi, Manager, Business & Trading Conduct Compliance will highlight the following topics:

- Client Identifier proposal
- Debt Transaction Reporting proposal



- Internalization Review update
- Digital Asset Working Group
- Consolidated Short Position Reports
- ETR Review
- TCC Examinations
- What we're seeing in Surveillance
- Surveillance System Enhancements

Your attendance will earn you **1.5 hours of IROC Continuing Education Compliance Credits.**

For more information and to register for the Tips for Traders event click [here](#).

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