

IIROC NOTICE

Education Notice

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Contact:

Dianne Weatherby
Senior Corporate Events Specialist, Public Affairs
416 646 7202
dweatherby@iiroc.ca

20-0259

December 3, 2020

IIROC TO HOST THE SECOND IN A SERIES OF PAN-CANADIAN VIRTUAL CONFERENCES FOR INDUSTRY PARTICIPANTS ON DECEMBER 17, 2020

We are pleased to announce that IIROC's second virtual conference will take place on Thursday, December 17, 2020, from 1:00-3:30 pm Eastern Time (ET).

The conference will feature a trading conduct, business conduct and financial and operations compliance industry panel that will discuss the steps taken by IIROC and Dealer Members in response to the pandemic. The participants of the expert industry panel include:

- Louise Hamel, Vice-President, Member Compliance, IIROC
- Kevin McCoy, Vice President, Market Policy and Trading Conduct Compliance, IIROC
- Marie-Lyne Côté, Director, Member Regulation, IIROC
- Brenda Bartlett, President and Chief Compliance Officer, PWL Capital Inc.
- Kevin Bresler, Chief Compliance Officer, TD Waterhouse Canada Inc.
- Christopher Hill, Chief Compliance Officer, STIFEL GMP/STIFEL FirstEnergy
- Steven Sharma, Partner, Audit, Financial Services, KPMG LLP
- Danielle Tétrault, Chief Compliance Officer, Investors Group Securities Inc.



An IIROC enforcement update will follow the industry panel discussion, and will include IIROC's Charles Corlett, Director, Enforcement Litigation and Ralph Gaston, Director, Enforcement Investigations.

We will be providing both English and French viewing opportunities simultaneously, and as a pan-Canadian organization, we will be pleased to respond to questions in both English and French.

This conference is free of charge. Compliance continuing education (CE) credits will be available on the virtual conference platform and will also be distributed via email at the conclusion of the event.

We plan on releasing a webcast of the virtual conference shortly after the event date.

Click [HERE](#) to register for the December 17 event.

Thank you for your ongoing support and participation in IIROC's educational programs.