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21-0020

February 3, 2021

New Webcast: Trading Conduct, Business Conduct and Financial Operations Compliance, followed by an Enforcement Update

This webcast features 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 (currently Vice-President Enforcement – Acting), and Ralph Gaston, Director, Enforcement Investigations.



This webcast will be available for viewing on February 3, 2021 at 7:00 am Eastern time and on a 24/7 basis after that date.

There will be 2.25 compliance continuing education credits available.

Click [HERE](#) to register.

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