

CAPITAL MARKETS STRATEGIES

Best Execution and Trading Summit - Canada 2020

Agenda

September 14, 2020

2:00pm-5:30pm **Virtual Exhibit Hall Open**

September 15, 2020

PLEASE NOTE: **Virtual Exhibit Hall Open throughout Summit**

12:30pm-1:00pm **Discussion with OSC and IIROC on Regulatory Developments Impacting Best Execution and Trading**

Kevin McCoy
VP, Market Policy and Trading Conduct Compliance
IIROC

Tracey Stern
Manager, Market Regulation
Ontario Securities Commission

1:00pm-1:45pm **Impact of Regulatory Developments on Best Execution and Trading**

- Update on key regulatory proposals and changes affecting best execution and trading
- How the markets have functioned during the COVID-19 pandemic
- How institutional investors are adapting to keep pace with changes and ensure compliance with regulations

Ari Burstein, Moderator
President
Capital Markets Strategies

Travis Felker
Senior Advisor, Business Strategy, Equities Trading
TMX Markets

Peter Haynes
Managing Director, Index Products
TD Securities

Scott Laskey
Senior Accountant, Compliance and Registrant Regulation
Ontario Securities Commission

Alex Taylor
VP, Surveillance
IIROC

1:45pm-2:30pm

A New Way of Looking at Best Execution in the Equities Markets - Advancements in Execution Tools and Services

- Examination of new trade execution tools and services to assist institutional investors
- Advancements in the use of AI and machine learning in trading
- How to best use algorithms and other technology-driven trading tools

Ari Burstein, Moderator
President
Capital Markets Strategies

Robert Barnes
Global Head of Primary Markets and CEO Turquoise
London Stock Exchange Group

Roman Ginis
Founder
IntelligentCross

Robert Gouley
Principal, Trading
OMERS Capital Markets

Craig Hurl
Director, Global Trading, Equities & Commodities, Capital Markets
OTPP

Dan Kessous
Chief Executive Officer
Nasdaq Canada

Joe Wald
Managing Director, Co-Head of Electronic Trading
BMO Capital Markets

2:30pm-3:00pm

CCO Roundtable - Discussion of Implementing a Compliance Program around Best Execution and Trading

Michael Taylor, Moderator
Partner
Borden Ladner Gervais

Lara Misner
Chief Compliance Officer
Sprott Asset Management

Jackie Sanz
Chief Compliance Officer
Caldwell Investment Management

3:00pm-3:45pm

Developments in ETF Trading and Market Structure - Specific Issues to Consider for Institutional Investors

- Innovations in trading platforms and trading tools
- How to trade ETFs more efficiently
- Evaluating the ETF trade and metrics for gauging liquidity

Ari Burstein, Moderator

President

Capital Markets Strategies

Katie Gouinlock

ETF Capital Markets

Vanguard Investments Canada

Naseem Husain

Vice President, ETF Strategy

Mackenzie Investments

Alex Perel, CFA

Director, Head of ETF Services

Scotiabank Global Banking & Markets

Erik Sloane

Chief Revenue Officer

NEO Exchange

3:45pm-4:30pm

Utilization of ETFs by Institutional Investors and the Impact on Best Execution and Trading

- How the ETF markets functioned during the COVID-19 pandemic
- How institutional investors are utilizing ETFs
- Examining the changing relationship between exchanges, market makers and ETF issuers

Ari Burstein, Moderator

President

Capital Markets Strategies

Chris Heakes

Vice President, Portfolio Manager, Global Structured Investments

BMO Global Asset Management

Graham MacKenzie

Head of ETFs and Structure Products

TMX Group

Andres Rincon

Director, Head of ETF Sales & Strategy

TD Securities

Kimberly Russell

Vice President, Market Structure Specialist, Global SPDR Business

State Street Global Advisors

4:30pm-6:00pm

Virtual Networking Reception/Happy Hour

September 16, 2020

PLEASE NOTE: Virtual Exhibit Hall Open throughout Summit

12:30pm-1:15pm Exchange Roundtable – Bringing Competition to the Canadian Markets and Impact on Investors

- Discussion of competition among exchanges
- Changing role of exchanges in the markets and vis-à-vis institutional investors
- Exchange innovation in trading and technology

Richard Carleton
Chief Executive Officer
Canadian Securities Exchange

Jeff Foster
Director, Equity Markets
TMX Markets

Dan Kessous
Chief Executive Officer
Nasdaq Canada

Joachim Wiklander
Chief Operating Officer
NEO Exchange

1:15pm-2:00pm Managing Data Around Order Routing and Execution – An Examination of Transaction Cost Analysis (TCA) for Equities, Fixed-Income and ETFs

- Challenges to measuring and analyzing execution quality and trading performance
- Tools and services available for the buy-side to more easily analyze and consume trading data
- Impact of recent transparency initiatives

Ari Burstein, Moderator
President
Capital Markets Strategies

Frank Grampone
Executive Vice President, Business Development & Strategy
BXS

Timothy Lang
CEO
Global Liquidity Partners

Rob Pulkys
Vice President, Trade Execution
Waratah Capital Advisors

Chris Sparrow
Co-Founder and Director of Analytics
Spacetime.io

Milos Vukovic
Vice President, Head of Investment Policy
RBC Global Asset Management

2:00pm-2:45pm

Trading and Best Execution in Fixed Income, Options, Derivatives and FX

- Specific issues to consider when trading fixed-income, options, derivatives and FX
- How the markets have functioned during the COVID-19 pandemic
- Challenges to measuring and analyzing execution quality and trading performance

Ari Burstein, Moderator
President
Capital Markets Strategies

Chris Churchman
Managing Director, Head of FX Trading, Americas & Global Co-Head of FX Options Trading
UBS

Mario Cianfarani, CFA
Head of Institutional & Retirement Distribution
Vanguard Investments Canada

Carrie Freeborough
SVP, Head of Trading
Mackenzie Investments

Patrick McEntyre
Managing Director Electronic Trading & Services
National Bank Financial

2:45pm-3:15pm

Update on Unbundling and the Provision of Research – Impact on Institutional Investors

- Update on trends and proposed solutions to provide regulatory relief to market participants
- Alternatives for structuring payments for research
- Analysis of commission management solutions and processes to evidence research spending

Leonard Ng, Moderator
Partner
Sidley Austin

Karen Couldrey
Head of Equity Product Marketing & Head of Electronic Sales
Scotiabank

Anthony Scilipoti
President & CEO
Veritas Investment Research Corporation

Clive Williams
Former Global Head of Equity Trading
T. Rowe Price

3:15pm-4:00pm

Trading Digital Assets, Crypto and Bitcoin – Examining the Future Considerations for Institutional Investors

- Update on key regulatory proposals and changes
- Innovations in trading platforms and trading tools
- How the markets functioned during the COVID-19 pandemic

Ari Burstein, Moderator

President

Capital Markets Strategies

Richard Carleton

Chief Executive Officer

Canadian Securities Exchange

Greg Tusar

VP, Institutional Products

Coinbase

Dave Weisberger

Co-Founder and CEO

CoinRoutes

4:00pm-5:30pm

Virtual Networking Reception/Happy Hour

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