

EVENT

PCMA Alberta Round Table Meeting on CSA 33-404

July 26, 2016

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Join PCMA Alberta - Calgary Chapter and participate as we continue to work on the PCMA comment letter to the CSA Consultation Paper 33-404. Provide your feedback, opinion and be a part of the change that will greatly affect the private capital markets industry!

Topic: CSA Consultation Paper 33-404 – Proposal to Enhance The Obligations of Advisers, Dealers, and Representatives Towards Their Clients – How will this impact the Exempt Market?

Discussion items:

- Conflicts of Interest & Relationship Disclosure
- Know Your Client, Know Your Product & Suitability
- Proficiency, Titles & Designations
- Role of UDP & CCO
- Best Interest Standard

Speakers:

[Brian Koscak](#)

Vice Chair, The Private Capital Markets Association of Canada
Co-Chair, The Private Capital Markets Advocacy Committee
President and General Counsel, Pinnacle Wealth Brokers

[David Gilkes](#)

Vice Chair, The Private Capital Markets Association of Canada
Co-Chair, The Private Capital Markets Compliance Network
President, North Star Compliance & Regulatory Solutions Inc.

[Nadine Milne](#)

Co-Chair, The Private Capital Markets Compliance Network
Chief Compliance Officer, Portland Investment Counsel Inc.

Registration starts at 3:30 pm MT.

Space is limited. Please [register](#) by July 25, 2016. [McLeod-Law.com](#)