



Canadian Bond
Investors' Association

Association canadienne des
investisseurs obligataires

CBIA FORUM ON

- **NI 31-103**
- **REGULATION AND TRANSPARENCY IN THE
FIXED INCOME MARKETS**

**Wednesday, April 20, 2016
Metro Toronto Convention Centre
Room 203D, North Building
255 Front Street West, Toronto**

CBIA Forum

3:00 – 5:00 PM

NI 31-103

Background and market impact of recent amendments of NI 31-103: Registration Requirements, Exemptions and Ongoing Registrant Obligations.

Facilitator: Marc-André Gaudreau, Vice President & Portfolio Manager, Head of Fixed Income, 1832 Asset Management L.P.

Panelists: Jennifer Hartviksen, Head of Fixed-Income Investments, Trimark Investments, Invesco Canada
Geof Marshall, Senior Vice-President, Portfolio Management and Portfolio Manager, Signature Global Asset Management

Next Steps in Regulation and Transparency in the Fixed Income Markets

Update and comment from IIROC on the CSA Staff Notice and Request for Comment 21-315 Next Steps in Regulation and Transparency of the Fixed Income Market.

Speakers: Victoria Pinnington, Senior Vice President, Market Regulation, IIROC
Ruxandra Smith, Senior Accountant, Market Regulation, Ontario Securities Commission

Networking Reception

5:00 – 6:30 PM

A casual networking opportunity with CBIA members and other key industry leaders.

Speakers



Marc-André Gaudreau CPA, CGA, CFA
VP and Portfolio Manager, Head of Fixed Income, 1832 Asset Management L.P.

Marc-André joined 1832 Asset Management L.P. in 2012 as head of the Credit Team, who are responsible for managing over \$4 billion in credit-related asset classes including investment grade corporate bonds, preferred shares, high yield bonds and loans, along with floating rate and long/short credit strategies. He has more than 19 years of industry experience, including responsibilities as a senior portfolio manager managing high yield and investment grade corporate bonds, along with income-oriented mutual funds. Prior to his transition to portfolio management, he gained valuable experience as a senior corporate credit manager at a major financial institution and as a credit risk manager for the Office of the Superintendent of Financial Institutions.



Jennifer Hartviksen CFA, BA
Head of Fixed-Income Investments, Trimark Investments

Jennifer began her investment career in 1992 at Cassels Blaikie Investment Management Ltd., where she worked as a portfolio manager assistant, followed by a research assistant at Research Capital Corp. and an analyst, corporate finance at Midland Walwyn Inc. In 1996 she relocated to Brazil, where she worked at JPMorgan Chase & Co. as a senior analyst, investment banking and at ING Barings LLC as a vice president, corporate debt research. In 2000 she joined SunAmerica Investments, Inc. in the U.S. as a vice president, high-yield investments. She then spent eight years working at Western Asset Management Co. as a senior high-yield analyst. In 2009, she returned to Toronto, joining the Canada Pension Plan Investment Board as a senior portfolio manager specializing in corporate debt. Most recently, Jennifer worked at Fiera Quantum L.P. as a senior portfolio manager, managing a credit strategy. She joined Invesco in 2013.



Geof Marshall CFA
Senior Vice-President, Portfolio Management and Portfolio Manager, Signature Global Asset Management, a division of CI Investments Inc.

Geof heads the corporate bond team at Signature. He has extensive experience analyzing, managing and trading high-yield bonds, convertible bonds and leveraged loans. Geoff is the lead manager of Signature High Yield Bond Fund, and co-manager of Signature Corporate Bond Fund and several diversified income funds. Funds co-managed by Geof have won four Morningstar Awards and 10 Lipper Fund Awards. He joined CI in 2006 from Manulife Financial, where he was a portfolio manager.



Victoria Pinnington
Senior Vice President, Market Regulation
Investment Industry Regulatory Organization of Canada (IIROC)

Victoria is responsible for the management of all of IIROC's market-related activities, including market policy, trading conduct compliance, market surveillance, and trading review and analysis. In November, Victoria will also assume oversight for IIROC's newly launched debt surveillance as well as building the organization's cross-product surveillance and analysis capabilities. Victoria has been in the market regulation field for over 15 years and has held a variety of positions at IIROC, most recently as Vice President, Trading Review and Analysis responsible for the oversight of preliminary reviews of potential improper trading activity, post-trade surveillance, and market analytics including proactive and reactive market trend analysis to inform policy making. Victoria is currently the Chair of the Intermarket Surveillance Group, an international group of exchanges, market centers, and market regulators that perform front-line market surveillance in their respective jurisdictions.



Ruxandra Smith

Senior Accountant, Market Regulation, Ontario Securities Commission

Ruxandra is a Senior Accountant at the Ontario Securities Commission, the agency responsible for administering and enforcing securities law in the province of Ontario. She is part of the Market Regulation Branch, which regulates key market infrastructure entities and develops and implements policies to address market structure, trading and post-trade clearing and settlement issues. Her current responsibilities include oversight of exchanges and fixed income and equity alternative trading systems. Ruxandra has been involved in a number of projects dealing with fixed income and market structure issues, including initiatives related to fixed income transparency in the Canadian capital markets. Ruxandra joined the Ontario Securities Commission in 2000. She holds a Chartered Professional Accountant designation and has a Bachelor of Commerce degree from Queen's University. Prior to joining the Ontario Securities Commission, Ruxandra worked at Deloitte & Touche LLP.



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REGISTRATION FORM – Non-Members

FIRM NAME

1st ATTENDEE NAME

(~~105~~)

Tel.: Fax: E-mail (required):

2nd ATTENDEE NAME

(to appear on badge)

Tel.: Fax: E-mail (required):

3rd ATTENDEE NAME

(to appear on badge)

Tel.: Fax: E-mail (required):

Registration Fee: \$65.00 + \$8.45 HST = \$73.45 per registrant X = \$

Payment Options

Cheque

Please make cheque payable to the Canadian Bond Investors' Association (CBIA) and return a copy of this registration form, with your cheque, to:

Canadian Bond Investors' Association, 20 Carlton Street, Suite 123, Toronto, ON, M5B 2H5

VISA

MasterCard

Credit card #:

Expiration date:

Signature:

Name on card:

Complete credit card details and fax back to the CBIA office at (416) 585-3005 or email it to info@bondinvestors.ca. Please feel free to contact Liliane Gagné at (416) 585-3000 to provide credit card details.

HST: All registration cheques/money orders must include HST. HST-exempt firms will have to claim the HST as an Input Tax Credit (ITC). Registrations will NOT be accepted without HST and cheques will be returned. (CBIA HST # 833494081)