# Financial Services 2030

June 4th, 2019
Arcadian Court, 401 Bay Street, Toronto

## The Canadian financial services landscape is rapidly shifting. Firms need to understand the key themes and trends that will shape the future and develop a vision that will prepare and keep pace with that future.

As a leader in delivering outsourced compliance solutions to Canadian financial services firms, InvestorCOM is pleased to invite you to our annual conference: **Financial Services 2030**.

Join other industry leaders and our guest Millennial Panel to explore this theme through 3 perspectives:

- Digitization & Technology Trends - how will existing and new technology change the landscape in 2030?
- The "new client" - the largest Intergenerational Wealth Transfer in Canadian history will change who our clients are and their expectations.
- Emergence of new financial services players - how will the role of FinTechs, BigTech, and other emerging competitors impact Canadian financial services.

## Agenda

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| 8:30 | **Registration, Breakfast and Networking** |
| 9:00 | **Welcome and Introduction** |
| | David Reeve, *CEO, InvestorCOM* |
| 9:15 | **Laying the Foundation:**<br>Trends that will shape the future. |
| | Peggy Van de Plassche, Managing Partner, 113 Ventures |
| 10:00 | **Digital Transformation Strategies** |
| | Tom Park, *BDC* |
| 10:30 | **Coffee/Tea Break** |
| 11:00 | **Financial Services Innovators Panel:**<br>Panelists to discuss how they have succeeded in innovating and what are they observing in terms of clients changing demands for products and services. How do organizations drive a culture of continuous innovation. |
| | Gillian Riley, *CEO, Tangerine Bank*<br>Som Seif, *CEO, Purpose Investments*<br>JF Courville, *CEO, Wealthsimple for Advisors*<br>**Moderator:** John MacKinlay, *Sr Advisor, Growth Equity* |
| 12:00 | **Lunch** |
| 12:45 | **The Advisor Perspective:**<br>Discuss the communication challenges and opportunities between advisor and client and how to manage pending Intergenerational Wealth Transfer. |
| | Ellen Bessner, *Partner, Babin Bessner Spry*, and best-selling author of *Advisor at Risk and Communication Risk* |
| 1:45 | **Financial Services Millennial Panel:**<br>Young financial services professionals discuss challenges and the desired state of Financial Services 2030 |
| | **Moderator:** John Bardawill, *Managing Director, TMG International*<br>Panelists TBC |
| 2:45 | **Event Wrap-up and Reception** |

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Please register at InvestorCOM.com/FS2030

# Speaker Biographies

### Thomas Park | *Vice President, Corporate Strategy & Initiatives, BDC*

Thomas Park is Vice President, Corporate Strategy & Initiatives at the Business Development Bank of Canada. In this role, he's responsible for the strategic direction and planning processes of the BDC. He is also the project lead for the digital transformation of the BDC. Previously, Thomas was Program Officer while on sabbatical from McKinsey & Company with the Bill & Melinda Gates Foundation, where he supported the leadership team in developing and executing their family planning initiative. Prior to this, he served as Senior Engagement Manager with McKinsey & Company. He currently sits on McGill University's Global Health Programs International Advisory Board and is also a member of Ryerson's Faculty of Engineering and Architectural Science's Dean's Advisory Council and the Banff Forum. He is also an alum of the Governor General's Leadership Conference. Tom was recognized as one of Canada's outstanding young leaders in the Top 40 Under 40 in 2017.

### Som Seif | *President, CEO, Purpose Investments*

Som Seif is the founder and Chief Executive Officer of Purpose Investments Inc., which he formed following the sale of Claymore Investments to BlackRock Inc. Prior to Claymore Investments, Som was an investment banker with RBC Capital Markets, where he played a key role in developing the structured products group, raising capital for both Canadian and U.S. asset managers. In 2011, Som was recognized for his vision and leadership by Caldwell Partners International with the Top 40 Under 40 award.

### John MacKinlay | *Senior Advisor, Growth Equity*

John MacKinlay is a Senior Advisor to Growth Equity clients and funds. Most recently John advised Omers Platform Investments and was responsible for exploring strategic opportunities for OMERS Platform Investments in the area of Financial Services, Fintech as well as Agriculture and Food Technology. Prior to joining OMERS Platform Investments, John led PwC Canada's Financial Services Consulting & Deals Practice and prior to that, John was the Chief Strategy Officer and Head of Corporate Development for National Australian Bank's Americas business unit. John started his career in Corporate Finance with CIBC.

### Gillian Riley | *President & CEO, Tangerine*

Gillian Riley is Executive Vice President, President & CEO, Tangerine. She was appointed to this role in December, 2018, with responsibility for setting and driving Tangerine's strategic objectives to solidify its position as Canada's leading digital bank. She is also the Chair of Roynat Capital and the lead executive champion of The Scotiabank Women Initiative. Since joining Scotiabank in 1994, Gillian has held senior leadership positions in Retail, Small Business, Commercial Banking and Operations groups. In her previous position as Executive Vice President, Canadian Commercial Banking, Gillian directed the management of several integrated businesses providing corporate finance solutions to businesses across Canada. She is President of the Canadian Club of Toronto and a Director of the St. Michael's Hospital Foundation.

### Jean-François (J-F) Courville | CEO, Wealthsimple for Advisors

Jean-François (J-F) Courville was recently appointed Chief Executive Officer of Wealthsimple for Advisors, the online portfolio manager's business-to-business platform designed specially for financial advisers looking to offset a portion of investment management tasks. J-F has been a professional and senior executive in the financial services industry since 1991. Most recently and since 2013, J-F was Executive Vice President and Chief Operating Officer of RBC Wealth Management where he was responsible for RBC Wealth Management's global strategy and oversight of the group's key growth initiatives as well as leadership of the global teams supporting all geographic businesses with digital client solutions, investment advisory and fee-based investment management solutions, credit and cash management, brand and marketing, operations and technology. Prior to joining RBC Wealth Management, J-F was with Manulife Financial Corporation where he was President & CEO of Manulife Asset Management's global business. Prior to that, J-F was President and CEO of State Street Canada. J-F was named to the list of Canada's Top 40 Under 40, 2005.

### John Bardawill | *Managing Director, TMG International*

John Bardawill is an expert in customer experience. He helps senior leaders translate customer experience, marketing and change initiatives into meaningful action across the organization. He has worked with such companies as Ericsson, Cable & Wireless, Bell Canada, Rogers, RBC Insurance, Air Canada, Via Rail and Yellow Pages. Mr. Bardawill is also chair of the Canadian Marketing Association's customer experience council.

### Ellen Bessner | *Partner, Babin Bessner Spry LLP*

Ellen Bessner is an experienced litigator. After 25 years of practice on Bay Street at prominent Canadian law firms, Cassels Brock & Blackwell LLP and Gowling WLG, Ellen joined Babin Bessner Spry LLP. She is regularly retained to advise boards of directors and senior officers on compliance issues. Ellen has acted as counsel before every level of the Ontario courts and in many arbitrations and regulatory proceedings, including before the Financial Services Commission of Ontario (FSCO), the Investment Industry Regulatory Organization of Canada (IIROC), the Mutual Fund Dealers Association of Canada (MFDA), and the Ontario Securities Commission (OSC). Ellen is the author of the bestselling book Advisor at Risk: a roadmap to protecting your business and has recently written the sequel Communication Risk: how to bridge the client-advisor gap to protect and grow your business.

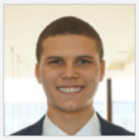
### Peggy Van de Plassche | Managing Partner, 113 Ventures

Peggy has spent close to 20 years in the IT and financial services industries as an entrepreneur, executive, investor, senior advisor and board member. She led innovation for a large Canadian bank (CIBC), allocated several billion of capital for technology projects on behalf of large IT and finance institutions (CGI and BMO), managed a family office, and started companies. More recently she has advised top global organizations like BMO, Power Financial, OMERS, and HOOPP, on multiple aspects such as digital banking strategy, technology roadmap, data strategy, and large B2b sales. Spearheading transformation is her “secret sauce”, leveraging a systematic and deliberate “people, process and tools” approach to increase top and bottom lines. She sits on the boards of Invest in Canada, Zoom.ai, FrontFundr, Impak Finance and Hackergal. She was nominated in 2011 for the Recognition award by l’Association des Femmes en Finance du Quebec.

# Financial Services Millennial Panel

### Sarah Reeve | *Digital Associate, TD for Me*

Sarah Reeve graduated from Ivey Business School in 2017, and is currently completing her two-year Digital Rotational program at TD. This program has given her insight into the world of digital and she has been on multiple teams including Insurance Digital Strategy, Easyweb, Mobile Innovation & Patents and TD for Me. In her current role, she works directly with Flybits, a technology company focused on contextual intelligence and delivering micro-personalized customer experiences.



### Jordan Walwyn | *Digital and International Banking Strategy, Scotiabank*

Jordan Walwyn is currently an analyst at Scotiabank in the International Banking and Digital Strategy group. In his current role, Jordan supports the design and development of strategies for complex, enterprise-wide and multi-stakeholder areas including Digital Banking, FinTech Partnerships, and Analytics. Jordan holds an HBA from Ivey Business School and a Bachelors of Science with a specialization in chemistry from Western University. In his free time, Jordan enjoys traveling, snowboarding, soccer, cycling, and is an avid Raptors fan.

### Stephan Cantanna | *Private Wealth Associate, Investment Planning Counsel*

Growing up in a family of entrepreneurs where Sunday night dinner conversation stemmed around business, politics and finance, Stephan knew early on business was an interest of his. Graduating from McMaster’s Commerce program at the Degroote School of Business in June 2015, he eagerly accepted a role in Compliance at Investment Planning Counsel to break into the financial services industry. Currently, he serves as a performance and reporting analyst for Counsel Portfolio Services, IPC’s mutual fund dealer.

### Rebecca Guy | Masters of Management of Artificial Intelligence Candidate, Relationship Management Business Associate, Capital Markets, RBC

Rebecca is an Associate on a Business Management team in Capital Markets at RBC. Her main areas of focus are on Client Relationship Management (CRM), Strategy and Analytics. Outside of work she is currently completing her Masters of Management in Artificial Intelligence (MMAI) through Queen’s Smith School of Business. She expects to graduate in the Fall of 2019 as a member of the inaugural class.