



# RegTech Research Seminar: What Regulation and Technology Mean for Market Participants in Monitoring Trading Activity

Co-Hosted by IBM, Actiance, and Sigma Analysis & Management

**Wednesday, February 15, 2017**

5:00 PM - 7:00 PM

*Registration opens at 4:45 PM*

*Reception to follow*

**MaRS Discovery District**

101 College Street, Conference Room

CR-3, Suite 100, Toronto, Ontario

M5G 1L7

Please join us for a panel discussion about how regulators and registrants alike are addressing the rapidly changing "RegTech" space, particularly with respect to trade surveillance.

This panel will focus on how regulators have evolved their surveillance programs and how buy-side and sell-side firms are adapting their internal policies and procedures related to trade monitoring to address legal and regulatory concerns and technological advancement.

The audience is welcome to ask questions. The talk will be immediately followed by a reception.

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## Agenda

### Registration

4:45 PM - 5:00 PM

### Welcome Remarks

5:00 PM - 5:10 PM

### Panel Discussion & Q/A

5:10 PM - 5:40 PM

### IBM and Actiance Presentation

5:40 PM - 6:00 PM

### Networking Reception

6:00 PM - 7:00 PM

Refreshments will be served



### Disclosure Statement

Sigma Analysis & Management Ltd, ("SIGMA") is hosting this seminar for research, education, and discussion purposes only. No product is being sold at this seminar. In general, alternative investment products, including hedge funds and managed futures, involve a high degree of risk. Alternative investment products can be volatile. An investor or manager could lose all or a substantial amount of his or her investment. One should always conduct rigorous due diligence, and confer closely with their legal experts, and clearly understand the risks carefully before making an investment. Past Performance is not indicative of future results.