

YOUR FACILITY

CONFIRMED PARTICIPANTS INCLUDE:



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Kerry Willett-Vali,
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Jamie Pearson,
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Tanna Brodbar, Vice President,
Operational Risk Management,
GREAT-WEST LIFE



Laura Smith, Director, Risk
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Katherine MacPherson, Senior
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Saad Ali,
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Juan Rodriguez,
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Andres Betancourt, Senior Audit
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Rahim Panjwani, Senior Vice
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Tatyana Kalita, Assistant Vice
President, Risk Governance, ERM,
**THE GREAT WEST LIFE ASSURANCE
COMPANY**

INFONEX
Professional Development

14th Annual!

October 22-23, 2019 • Workshop: October 21, 2019 • Toronto, Ontario

Operational Risk Management

Explore Vulnerabilities and the Latest Best Practices for Operational Risk Management!

Go Beyond a One-Size Fits all Approach

- Exceed regulatory expectations for the management of operational risk
- Clarify OSFI's expectations for the management of operational risk
- Engage the first line of defence
- Hear strategies for building and modifying your ORM framework
- Address when to employ which operational risk assessment tool
- Explore root causes of operational risk events
- Introduce business process mapping to your toolkit
- Develop a risk culture framework
- Identify controls of digital transformations
- Peer-approved options for approaching a RCSA
- Get ahead of the curve on the moving target of cyber
- Embrace the new rules for capital modeling

Pre-Conference Workshop: Monday, October 21, 2019 (1:00 - 4:00)

OpRisk101: Assess the Fundamentals of Operational Risk

New to operational risk, or need a refresher? This session will explore the core concerns of the operational risk practitioner. You will assess E21 and what it means for you, specifically. With facilitation and expertise brought to you by a leading expert in operational risk, and a practitioner that has done the journey, you will get a cross-section of viewpoints to help fill the gaps in your learning. Interactive tabletop discussions with your peers will enable you to benchmark and explore multiple scenarios.

- Introduction to operational risk
- Taxonomy
- Operational risk events
- Risk and control self-assessment
- Key risk indicators
- Scenario analysis
- Business process mapping
- Issues management
- Change management
- ORM tools and processes best practices

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Operational Risk Management

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DAY ONE PROGRAM AGENDA: TUESDAY, OCTOBER 22, 2019

8:00 – 9:00 Registration and Continental Breakfast

9:00 – 9:10

Welcome and Opening Remarks from the Chair

Andrew Richardson, Principal, Simplified Risk Management Inc.

9:10 – 10:10

Risk Redefined: moving from “Enterprise Risk Management” to “Integrated Risk Management

Katherine MacPherson, Senior Manager, Financial Services Advisory, Ernst & Young LLP

- Lessons learned from the financial services industry since the global financial crisis
- Culture and corporate governance as the “ultimate root-causes” of most preventable failures
- Strategic insights on how others are attempting to measure, monitor, and proactively respond to potential culture issues to obtain “evidence-based” assurance
- Leading practices on how to derive value beyond compliance from your organization’s risk management program

10:10 – 10:30

Networking Break



10:30 – 11:30

Cyber, Fraud & Financial crime

- Evolution of cyber security risks
- Common investigation pitfalls
- Lessons learned: traditional attacks
- Lessons learned: sophisticated attacks
- Digital forensics and cyber incident response considerations

11:30 – 12:30

What is a 1B?

Laura Smith, Director, Risk Management Operations, Canada Mortgage and Housing Corporation

- Mandate and key responsibilities
- Interactions with the 1A lines of business
- Working with 2nd and 3rd LOD
- Building a risk aware culture
- How to add value during times of change

12:30 – 1:30

Luncheon Break

1:30 – 2:30

The Emergent Non-Financial Risk Environment: Perspective Towards 2030

Tanna Brodbar, Vice President, Operational Risk Management, Great-West Lifeco

- What operational risk management is - and isn't
- How operational risk is evolving and what this means to ORM practitioners
- The increasing intersection of non-financial risks and how to manage it
- How the lines of defence should evolve to meet the demands of the emergent risk environment
- The organizational conditions that must be put in place now to stay in front of it

2:30 – 3:30

Achieving a Robust Governance Framework Through Operational Risk Management

Saad Ali, Director, Governance, Controls & Operational Risk, CIBC

- Critical elements of a governance framework
- Regulatory requirements for corporate governance (including OSFI and SOX)
- How business changes impact the risk assessments
- Reviewing industry events for risk incidents and assessing impact on the business
- Creating a risk profile for each line of business to identify areas requiring enhancements

3:30 – 3:45

Networking Break



3:45 – 4:45

Establishing Risk Appetite for Operational Risk

Jamie Pearson, Director, Risk Management, Meridian Credit Union

- Learn how a top-down risk appetite framework supports operational risk appetite
- Relate operational risk appetite to organizational objectives
- Differentiate loss budgets from risk appetite
- Link appetite to operational risk capital
- Integrate operational risk appetite into decision-making

5:00 – 6:15

Cocktail Party sponsored by EY



Operational Risk Management

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DAY TWO PROGRAM AGENDA: WEDNESDAY, OCTOBER 23, 2019

8:00 – 9:00 Registration and Continental Breakfast

9:00 – 9:10

Welcome and Opening Remarks from the Chair

Andrew Richardson, Principal, Simplified Risk Management Inc.

9:10 – 10:10

Engage People by Leveraging Risk Management by Design

Olivier Beaumont, Advisor, Regulatory and Operational Risk Management, Industrial Alliance Insurance and Financial Services Inc.

- Create opportunities based on Lean philosophy
- Involving key stakeholders, the performers
- Take advantage of synergies to call action
- Demonstrate how benefits overcome time invested

10:10 – 10:30

Networking Break



10:30 – 11:30

1st & 2nd LoD Interactions: How to be Successful

Jeremy Holmes, Director, Operational Risk, Corporate Functions, RBC

Kerry Willett-Vali, Director, Operational Risk and Regulatory Management, RBC

- How to make the relationship work by going from an obstacle to a partner
- How to not step on each other's toes
- How much access to the 1st line is too much access
- Finding the balance between managing risk and impeding progress

11:30 – 12:30

AML Audit Risks and Trends in the Canadian Landscape

Andres Betancourt, Senior Audit Manager, AML/ATF & Sanctions, Scotiabank

- Money laundering in Canadian real estate - A look at Toronto, Montreal and Vancouver markets
- Opaque ownership (nominees, holding companies, trust)
- Key indicators for real estate agents, developers, real estate brokers and sales representatives
- Learn about conduct and risk culture audits for diverse units and geographies
- Implementation of substantive testing of culture and identifying potential risk-related outliers

12:30 – 1:30

Luncheon Break

1:30 – 2:30

Control Testing Framework Within the First & Second Line of Defence (LOD)

Rahim Panjwani, Senior Vice President, Regional Head of Testing & Validation, Wells Fargo Bank

- A lot of times business (1st LOD) neglects its accountability and ownership of risks, relying on the 2nd LOD to compensate to make sure the control environment remains strong
- Resultantly the 2nd LOD compromises its core responsibilities of reviewing and challenging the risk assessments, providing insights on underlying risks and monitoring trends and emerging risks
- Each LOD has a monitoring and/or testing responsibility where there is often a great deal of overlap and not as much coordination as would be optimal
- A robust testing framework provides a clear line of sight to the risks the organization should focus on and how the information will be used to make management decisions and prioritize resources
- Implementing and sustaining efficient and effective testing program sounds nice and tidy on paper but is harder to implement in reality
- One issue that continues to surface for the 1st and 2nd LOD is the difficulty in coordinating the required responsibilities without overlapping each other and being inefficient

2:30 – 3:30

Implementing a Strategic Relationship Among the Three Lines of Defense Model

Juan Rodriguez, Senior Manager, Global Operational Risk, Scotiabank

- Implementing sound governance in a non-regulated environment
- Step-by-step guide to developing a risk aware culture
- Overcome challenges in managing transformational change
- Learn the functions that own and manage risk
- Discover the importance of independent assurance, above all internal audit

3:30 – 3:45

Networking Break



3:45 – 4:45

From Siloed to Integrated Risk Management

Tatyana Kalita, Assistant Vice President, Risk Governance, ERM, The Great West Life Assurance Company

- Forces pushing organizations to move away from traditional siloed risk management approach
- What integrated risk management really means
- Learning from financial risk management and technology evolution
- Technology as an integrated risk management enabler and obstacle
- Practical solutions for addressing integrated risk management challenges

4:45

End of Conference

Operational Risk Management

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WHO SHOULD ATTEND THIS EVENT

- Risk Officers
- Vice-Presidents and Directors of Risk Enterprise Risk
- Operational Risk
- Information Security
- Enterprise Risk Management
- Information Technology
- Information Systems
- Business Continuity
- Outsourcing
- New Initiatives and Change Management
- Internal Audit

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Name of Approving Manager _____ Title _____

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Course for Groups of 3 +	\$2,399 each	\$2,199 each
Course for Groups of 2	\$2,499 each	\$2,299 each
Course for 1 Registrant	\$2,599	\$2,399
Workshop	\$799	



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LOCATION:

Operational Risk Management will be held at a convenient location in Toronto, Ontario. Detailed venue information will be forthcoming as it becomes available.

YOUR REGISTRATION INCLUDES:

Registration fees include all course materials, continental breakfast, lunch, and refreshments. **Parking and accommodation are not included.**

SPONSORSHIP, EXHIBITION, AND PROMOTIONAL OPPORTUNITIES:

Increase your visibility with senior business strategy, technology, analytics, and business intelligence professionals at *Operational Risk Management*. A limited number of sponsorship options are available.

Contact our sponsorship department by telephone at 1.800.474.4829, ext. 224, or by email at sponsorship@infonex.ca.

CANCELLATION POLICY:

Substitutions may be made at any time. If you are unable to attend, please make cancellations in writing and email to register@infonex.ca or fax to 1-800-558-6520 **no later than October 8, 2019**. A credit voucher will be issued to you for the full amount, redeemable against any other INFONEX course and which is valid for twelve months (one year) from the date of issue.

Registrants who cancel after **October 8, 2019**, will not be eligible to receive any credits and are liable for the entire registration fee.

Confirmed registrants who do not cancel **by October 8, 2019** and fail to attend will be liable for the entire registration fee.

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