

**The *Osgoode* Certificate in
Regulatory Compliance and Legal Risk Management for
Financial Institutions**

January 24 – April 16, 2019

**The Fundamentals of Regulatory Compliance and Legal Risk
Management for Financial Institutions**

**(also called: The *Osgoode* Certificate in Regulatory Compliance and
Legal Risk Management for Financial Institutions, Module 1 –
Compliance Fundamentals)**

ONLINE REPLAY: Friday, May 10, 2019

AGENDA

- 9:00 a.m. Program Directors' Welcome and Introduction**
Geoffrey Ritchie, General Counsel & Corporate Secretary, Mawer Investment Management Inc.
Joann Sochor, AVP, Corporate Compliance, Sun Life Financial
- 9:15 a.m. Introduction – What is Compliance?**
J-P Bernier, Retired Executive from Canada's Financial Industry with International Exposure
-
- 10:15 a.m. Refreshment Break**
-
- 10:30 a.m. Overview of the Regulatory Landscape - Three Pillars: Banking, Capital Markets, Insurance**
Pat Forgione, McMillan LLP
Natalie Ochrym, Advisor, The AML Shop
Jacqueline (Jackie) Sanz, CPA, CA, Compliance Executive, and Standards and Practices Committee Member, Portfolio Management Association of Canada (PMAC)
- 11:45 a.m. Nuts & Bolts of a Successful Compliance Program**
Danielle Lin, Vice-President, Canadian Banking & Consumer Legislation Compliance, TD Bank Group
Geoffrey Ritchie, General Counsel & Corporate Secretary, Mawer Investment Management Inc.
Joann Sochor, AVP, Corporate Compliance, Sun Life Financial
-

12:45 p.m.

Networking Luncheon

- 1:30 p.m. Nuts & Bolts of a Successful Compliance Program (continued)**
Danielle Lin, Vice-President, Canadian Banking & Consumer Legislation
Compliance, TD Bank Group
Geoffrey Ritchie, General Counsel & Corporate Secretary, Mawer Investment
Management Inc.
Joann Sochor, AVP, Corporate Compliance, Sun Life Financial

2:30 p.m.

Refreshment Break

- 2:45 p.m. Risk Management Fundamentals: Types of Risk & Qualitative Control**
Liane Kim, CFA, Chief Risk and Audit Executive, Ontario Power Generation
Waqas Rana, Vice President and Chief Compliance Officer, Corporate
Compliance, The Co-operators Group Limited

- 4:00 p.m. Fireside Chat: Navigating the Interactions Between Compliance, Risk & Legal**

Moderator:

Joann Sochor, AVP, Corporate Compliance, Sun Life Financial

Panel:

Jasmin Jabri, Head of Compliance, Invesco Canada

Geoffrey Ritchie, General Counsel & Corporate Secretary, Mawer Investment
Management Inc.

- 5:00 p.m. Program Concludes**