

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

13th Annual Event!

# Operational Risk Management

*Explore Vulnerabilities and the Latest Best Practices for ORM!*

## YOUR FACULTY CONFIRMED PARTICIPANTS INCLUDE:



**Dennis Chaupis**  
Deloitte

**Andres Betancourt**  
Scotiabank



**Kerry Willett-Vali**  
RBC

**Katherine Macpherson**  
Ernst & Young LLP



**Laura Smith**  
Canada Mortgage and  
Housing Corporation

... and more

## 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

**Plus!** Explore the Core Concerns of the Operational Risk Practitioner in the Pre-Conference Workshop!

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# Operational Risk Management

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

## DAY ONE PROGRAM AGENDA: TUESDAY, OCTOBER 22, 2019

08:00 - 09:00 Registration and Continental Breakfast

09:00 - 09:10

### Welcome and Opening Remarks from the Chair

**Andrew Richardson, Principal, Simplified Risk Management Inc.**

09:10 - 10:10

### Culture Genomics and the Evolution of Culture Assessment

**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

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10:10 - 10:30 Networking Break

10:30 - 11:30



### The Future of Operational Risk

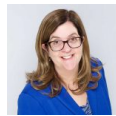
**Samantha Landry, Senior Consultant, Advisory Services, Ernst & Young LLP**



**Marley Kafato, Manger, Technology Advisory, Ernst & Young LLP**

- Common Operational Risk pitfalls
- Insights on technology and innovation in Operational Risk
- Overview of technology solutions for Operational Risk
- Focus on primarily small to medium size companies

11:30 - 12:15



### 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

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12:15 - 13:15 Luncheon

# Operational Risk Management

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## DAY ONE PROGRAM AGENDA: TUESDAY, OCTOBER 22, 2019

13:15 - 14:00

### 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

14:00 - 14:45



### Cyber, Fraud & Financial Crime

**Dennis Chaupis, Senior Manager, Risk Advisory Services, Cyber Risk Services, Deloitte**



**Wilfred Farias, Manager, Risk Advisory, Cyber Risk Services, Deloitte**

- Evolution of cyber security risks
- Lessons learned: traditional attacks Vs sophisticated attacks
- The cost of a breach
- The connection between a cyber breach and fraud
- Most common challenges when performing investigations

14:45 - 15:30

### 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

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15:30 - 15:45      Networking Break

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## DAY ONE PROGRAM AGENDA: TUESDAY, OCTOBER 22, 2019

15:45 - 16:45



### **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

16:45

**End of Day One**

## TORONTO, ONTARIO

**EVENT LOCATION: TORONTO, ONTARIO**

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

# Operational Risk Management

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## DAY TWO PROGRAM AGENDA: WEDNESDAY, OCTOBER 23, 2019

08:00 - 09:00 Registration and Continental Breakfast

09:00 - 09:10

### Welcome and Opening Remarks from the Chair

**Andrew Richardson, Principal, Simplified Risk Management Inc.**

09:10 - 10:10



### Engage People by Leveraging Risk Management by Design

**Olivier Beaumont, Risk Manager, Risk and Compliance, iA Financial Group**

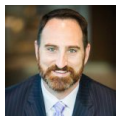
- Create opportunities based on Lean philosophy
- Involving key stakeholders, the performers
- Take advantage of synergies to call action
- Demonstrate how benefits overcome time invested

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10:10 - 10:30 Networking Break

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10:30 - 11:30



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

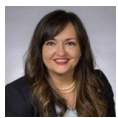
**Jeremy Holmes, Director, Operational Risk, Corporate Functions, RBC**

**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



### 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

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12:30 - 13:30 Luncheon

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## DAY TWO PROGRAM AGENDA: WEDNESDAY, OCTOBER 23, 2019

13:30 - 14:30

### **The OSC's Whistleblower Program - What You Need To Know**

**Daniella Kozovski, Senior Investigation Counsel, Office of the Whistleblower, Enforcement, Ontario Securities Commission**

- Purpose of a Whistleblower Program
- Whistleblower Awards
- Whistleblower Eligibility
- Financial Incentive
- Confidentiality
- Whistleblower Protections

14:30 - 15:30

### **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

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15:30 - 15:45      Networking Break

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15:45 - 16:45

### **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

16:45

**End of Day Two**

# Operational Risk Management

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## WORKSHOP PROGRAM AGENDA: MONDAY, OCTOBER 21, 2019

13:00 - 16:00



### Workshop

#### **OpRisk101: Assess the Fundamentals of Operational Risk**

**Katherine Macpherson, Senior Manager, Financial Services Advisory, Ernst & Young LLP**



**John J. Fong, Director, Global Operational Risk Management, Manulife**

**Marley Kafato, Manger, Technology Advisory, Ernst & Young LLP**

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

### **SPONSORSHIP AND EXHIBITION 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.

For more information or to check availability, contact our sponsorship department by telephone at 416.507.4202, or by email at [sponsorship@infonex.com](mailto:sponsorship@infonex.com).

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## REGISTER BY PHONE, ON-LINE, OR IN THESE 3 EASY STEPS!

### 1 PRINT YOUR NAME AND CONTACT INFORMATION

Full Name \_\_\_\_\_ Title \_\_\_\_\_

Organization \_\_\_\_\_

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Company's main line of business \_\_\_\_\_ Number of Employees \_\_\_\_\_

### 2 SELECT YOUR PREFERRED PAYMENT METHOD

Prices subject to GST / HST	Full Price	Register by October 4
Course for Groups of 3 +	\$ 2,399 each	<b>\$ 2,199 each</b>
Course for Groups of 2	\$ 2,499 each	<b>\$ 2,299 each</b>
Course for 1 Registrant	\$ 2,599	<b>\$ 2,399</b>

Workshop: \$ 799 for one workshop



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330 Bay Street, Suite 1500  
Toronto, ON M5H 2S8

#### 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:

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#### 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.com](mailto:register@infonex.com) or fax to 1.800.558.6520 **no later than October 22, 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 22, 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 22, 2019** and fail to attend will be liable for the entire registration fee.

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