

**October 20 - 21, 2020 • Virtual Conference**

14th Annual Event!

Bringing Together Experts in Cyber Risk and Operational Risk Management!



# Operational Risk Management

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

## YOUR FACULTY CONFIRMED PARTICIPANTS INCLUDE:



**Eslam Eldakrory**  
**Home Trust Company**



**Rex Alex**  
**Canadian Western Bank**



**Sarah Reppchen**  
**Deloitte**

**Jeremy Holmes**  
**RBC**



**Ashok Menen**  
**Ontario Securities Commission**

... 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!** Discuss what the future holds for cybersecurity and operational risk in business!

**REGISTER TODAY!**

**Email: [lsobiecki@infonex.com](mailto:lsobiecki@infonex.com)**

**Call Lorie 416.507.4205 or**

**[www.infonex.com](http://www.infonex.com)**

# Operational Risk Management

October 20 - 21, 2020 • Virtual Conference

## DAY ONE PROGRAM AGENDA: TUESDAY, OCTOBER 20, 2020

10:30 - 10:45 EDT ( 07:30 - 07:45 PDT )

### Welcome and Opening Remarks from the Chair

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

10:45 - 11:45 EDT ( 07:45 - 08:45 PDT )

### Real-Life of Quantitative Convergent ERM to Solve Real Life Problems

**Franco Oboni, President & Principal Consultant, Oboni Riskope Associates Inc.**

- A real life case history. Multi country, multi-operations, diversified products.
- Why a convergent quantitative ERM was necessary.
- How such an endeavor is setup
- How it was successfully implemented, including interdependencies
- How results are displayed and used to enhance decision-making

11:45 - 12:45 EDT ( 08:45 - 09:45 PDT )



### Regulatory Update: OSC Enforcement During the Pandemic + The OSC Whistleblower Program

**Ashok Menen, Enforcement, Investigation Counsel, Ontario Securities Commission**

- Enforcement in a COVID-19 Environment
  - Types of misconduct
  - Investigations and Proceedings during the pandemic
- OSC Whistleblower Program
  - the Program's key features including available protections;
  - findings from a desk review of registrants into the anti-reprisal provisions of the Securities Act (Ontario); and
  - practical considerations for market participants to keep in mind.

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12:45 - 13:30 EDT ( 09:45 - 10:30 PDT )      Break

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13:30 - 14:30 EDT ( 10:30 - 11:30 PDT )

### Continuous Monitoring

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

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

- Approaches to maintain a line of sight on the risks and controls within the business
- Techniques to keep abreast of changes in the business operations in an ever-changing landscape
- Understanding changes in your business environment and how they impact your risk profile

# Operational Risk Management

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## DAY ONE PROGRAM AGENDA: TUESDAY, OCTOBER 20, 2020

14:30 - 15:30 EDT ( 11:30 - 12:30 PDT )



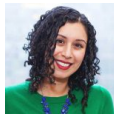
### **Operational Risk Management: Adding Value to the Business**

**Rex Alex, Assistant Vice President, Operational Risk, Canadian Western Bank**

- Changes in Operational Risk profile due to Coronavirus
- Key tools used for effectively identifying, assessing and mitigating Operational Risk exposures
- How Operational Risks relate to Credit and Market Risks
- Positioning Operational Risk Management as a value enabling function
- Examples when operational risk management controls fails

15:30 - 16:15 EDT ( 12:30 - 13:15 PDT ) Break

16:15 - 17:15 EDT ( 13:15 - 14:15 PDT )



### **The Risks of Ignoring People When Leading Rapid Change**

**Mumtaz Chaudhary, Executive Director & Co-Founder, Pragilis Solutions Inc.**

**Shaheen Chaudhary, Executive Director & Co-Founder, Pragilis Solutions Inc.**



- The key trends driving rapid change in the next decade (e.g. COVID-19)
- Why chief risk officers must also be chief change officers
- The top three organizational change risks (and how to overcome them)
- The predictable human dynamics of change
- A step-by-step framework for leading people through change

17:15 EDT ( 14:15 PDT )

### **Closing Remarks from the Chair**

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

## **SPONSORSHIP AND EXHIBITION OPPORTUNITIES**

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# Operational Risk Management

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## DAY TWO PROGRAM AGENDA: WEDNESDAY, OCTOBER 21, 2020

10:30 - 10:45 EDT ( 07:30 - 07:45 PDT )

### Welcome and Opening Remarks from the Chair

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

10:45 - 11:45 EDT ( 07:45 - 08:45 PDT )



### Elements of a Robust Governance Framework

**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

11:45 - 12:45 EDT ( 08:45 - 09:45 PDT )



### Impact of COVID19 on AML Audit Testing

**Andres Betancourt, Senior Audit Manager, Scotiabank**

- New Money Laundering and Terrorist financing risks (Counterfeiting and piracy: medications, PPE, fake charities & NPO's, Wire fraud)
- Testing AML controls and onboarding during COVID - Digital reviews
- Mobility restrictions in jurisdictions, Onboarding risks, transaction monitoring, ongoing monitoring risks
- Enhanced due diligence and scrutiny of all new individual/business accounts (Government subsidies for COVID19)

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12:45 - 13:30 EDT ( 09:45 - 10:30 PDT )      Break

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13:30 - 14:30 EDT ( 10:30 - 11:30 PDT )



### We're All Risk Managers Now

**Norman Baldwin, Partner, GRC Vista Risk Consulting**

- Your new job description
- OpRisk's Greatest Hits!
- Creating and measuring a risk culture
- Worst practices mini-workshop

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## DAY TWO PROGRAM AGENDA: WEDNESDAY, OCTOBER 21, 2020

14:30 - 15:30 EDT ( 11:30 - 12:30 PDT )



### Panel Discussion

#### COVID-19: Lessons Learned

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



**Sarah Reppchen, Financial Services Leader, Western Canada, Risk Advisory, Deloitte**

**Richard Cartwright, Senior Program Management Consultant, MZP Solutions**



**Michael Leung, Founder & Management Consultant, Canadian Cybersecurity Inc.**

- Do you think the right operational risk management approach could reduce the probability or even prevent organizations from going bankrupt in economically distressed times? What are the lessons learned so far?
- If you would have to name the top 3 most underestimated non-financial risks which materialized during COVID so far, what would these be?
- One buzz-word often used to describe successful organizations weathering the COVID storm now and uncertainties in the future is “resilience”. The organizations that are resilient are more likely to survive than others – but what does this actually mean and how can other organizations adopt this approach of becoming a “resilient organization”?
- How much can technology help in managing these challenging economic times from a risk perspective?
- What did you observe in the industry as a “win theme” which helped some organizations managing the economic downturn triggered by COVID better than others?
- How much can technology help in managing these challenging economic times from a risk perspective?
- What did you observe in the industry as a “win theme” which helped some organizations managing the economic downturn triggered by COVID better than others?
- What are some lessons learned or some observations that the pandemic has had on business continuity plans?
- What are some lessons learned or some observations that the pandemic has had on cybersecurity?
- Do you think that organization’s that have embraced “Digital Transformation” are doing better than others during the pandemic? Why or why not?
- How has COVID-19 impacted how you do what you (operational risk management)? Same, better, worse?

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## DAY TWO PROGRAM AGENDA: WEDNESDAY, OCTOBER 21, 2020

16:15 - 17:15 EDT ( 13:15 - 14:15 PDT )



### **Facing Uncertainty with Business Continuity Management: How Resilient Your Business Is?**

***Eslam Eldakrory, Director, Business Continuity and Risk Management, Home Trust Company***

- Understanding Business Continuity Planning
- Why Is Business Continuity Planning Important?
- How To Create A Successful Business Continuity Plan?
- Responding To A Disruption Scenario
- Importance Of Effective Communication During A Crisis Situation
- Maintaining Your Business Continuity Plan
- The Business Continuity Manager Role
- Lessons Learned from COVID-19

17:15 EDT ( 14:15 PDT )

### **Closing Remarks from the Chair**

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

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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 \_\_\_\_\_

Telephone (\_\_\_\_) \_\_\_\_\_ Ext \_\_\_\_\_ Fax (\_\_\_\_) \_\_\_\_\_

Email address \_\_\_\_\_

Name of Approving Manager \_\_\_\_\_ Title \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ Province \_\_\_\_\_ Postal Code \_\_\_\_\_

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 9
Course for 1 Registrant	\$ 2,599	<b>\$ 1,299</b> Subsequent Delegates: <b>\$ 999</b>

\* Groups must register together at the same time to be eligible for group savings.



**Method of Payment:**  VISA  MasterCard  Cheque enclosed, payable to INFONEX Inc.

Cardholders Name: \_\_\_\_\_

Card Number: \_\_\_\_\_ Exp. Date: \_\_\_\_\_ / \_\_\_\_\_

CVV / CSC: \_\_\_\_\_ Signature: \_\_\_\_\_

Please check box if you are GST / HST exempt Exemption # \_\_\_\_\_

### 3 SEND US YOUR REGISTRATION

GST / HST No. R134050012

**EMAIL:** Isobiecki@infonex.com **WEBSITE:** www.infonex.com

**TELEPHONE:** 416.507.4205 (Lorie) **MAIL:** INFONEX INC.  
330 Bay Street, Suite 1500  
Toronto, ON M5H 2S8

#### VIRTUAL CONFERENCE:

*Operational Risk Management* will be held as a virtual on-line conference. Details on how to access and participate in the event will be sent to all confirmed delegates prior to run date.

#### 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 or fax to 1.800.558.6520 **no later than October 6, 2020**. 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 6, 2020**, will not be eligible to receive any credits and are liable for the entire registration fee.

Confirmed registrants who do not cancel by **October 6, 2020** and fail to attend will be liable for the entire registration fee.

**DISCOUNT CODE: 1374-LS**

