

Compliance Transformation Conference

Wednesday, May 3, 2023
9:00 am – 4:00 pm



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Building Trust and Driving Competitive Advantage Optimizing resources while avoiding risks and penalties

What the Conference is About

- Transforming your compliance function
 - Maximizing the value of your regulatory activities
 - Prioritizing your most critical risks
- Rapidly responding to regulatory challenges
 - AI, Data analytics, predictive analysis
 - Adopting technology-enabled, data-driven solutions
- Streamlining labour-intensive and manual processes
- Improving employee engagement while saving time & reducing costs
 - Putting it all together
- Practical Issues Roundtable

Who Should Attend

- Compliance & Risk Management Professionals
- Corporate Legal Counsel Internal & External Auditors
- Senior Corporate & Government executives Finance & Accounting Management Lawyers, Consultants & Advisors

What's Included in the Fee

- Conference fee includes conference information kit including speakers' notes, lunch and cocktail reception.
- Meet key Compliance and Risk Management leaders and network with compliance professionals

May 3, 2023

Waterfront Campus, George Brown Centre for Business
51 Dockside Dr, Toronto, ON M5A 0B6

Conference Fee:

1-3 Delegates is \$99.00 CAD
per person + HST

4+ Delegates is \$79.00 CAD
per person + HST

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8:00 am • Coffee.

9:00 am • Welcome and Agenda

9:05 am • Regulatory Framework Update

Panel Chair

Camille Glover, Vice President Compliance, Investment Management Corporation of Ontario

Panel

Felicia Tedesco, Deputy Director, Compliance and Registrant Regulation, Ontario Securities Commission

Karen McGuinness, Senior Vice President, MFD Member Regulation, Membership Intake and Innovation New Self-Regulatory Organization of Canada

Antoinette Leung, Head, Financial Institutions and Mortgage Brokerage Conduct Financial Services Regulatory Authority

Marc Rotter, Counsel, Ropes & Gray

Lawrence Ritchie, Partner, Litigation, Osler

The role of the OSC, FSRA, SRO, OSFI and U.S. regulatory authorities and how they promote an environment conducive to compliance with regulatory initiatives. The role they can play in assisting businesses to achieve compliance targets.

10:00 am • Managing Compliance risk in a market/environment of accelerating change

Panel Chair

Jonathan Moncrieff, Global Chief Compliance Officer, Fiera Capital

Panel

Rebecca Cowdery, Senior Counsel, Borden, Ladner, Gervais

Brigitte Goulard, Senior Counsel, Torys

Chris Crowe, Founder, CMBYND, Inc.

Trends in regulatory changes both on the national and international level including conduct risk, visibility on private funds and ES. What are the related compliance challenges organizations are facing today considering the prevailing economic backdrop. How are you advising clients to address the changing regulatory landscape, and how do risk appetite and technology adoption intersect with these discussions? How does your advice change if a firm operates in more than one jurisdiction? Update on recent rulings and cases impacting firms.

10:45 am • Break. 11:00 am • Privacy and Mandatory Reporting Compliance

Panel Chair

Jo Chan, Chief Compliance Officer, Bull Capital Management Inc.

Panel

Adam Kardash, Partner, Privacy and Data Management; National Lead, AccessPrivacy, Osler

Jessica Hansen, Executive Director, Privacy Lead Financial Services Risk Management, EY

Nicole Henderson, Partner, Litigation & Dispute Resolution Group, Blake, Cassels & Graydon LLP

Aggie Zander, Vice President Compliance, Governance, Enterprise Programs & Global Privacy Officer, Scotiabank

The Office of the Privacy Commissioner of Canada enforces two federal privacy laws that set out the rules for how federal government institutions and certain businesses must handle personal information. Breach notification requirements and enforcement. Ensuring that you have processes in place so that you are adequately prepared to manage your response to breaches. Strategic privacy priorities.



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12:00 pm • Lunch

Naomi Andjelic Bartlett, Senior Vice President, Chief Compliance Officer and Chief Privacy Officer, IGM Financial Inc.

Keynote Speaker

1:00 pm • RegTech – Adopting technology for Compliance

Panel Chair

Jacqueline Sanz, Managing Director, Canada Lead of Risk & Compliance Solutions, Protiviti

Panel

Loren Schwartz, Senior Director of Regulatory Technology, CIBC Capital Markets

Nat D'Ercole, Partner, Operations Leader, AI Practice, Deloitte

Sam Burns, SVP, Digital, Applications, Data and Delivery, IGM Financial Inc.

How to use RegTech solutions to help overcome compliance and regulatory hurdles. How to increase the quality of risk management, reduce compliance costs or automate onboarding processes to allow resources to focus on value-added activities.

2:00 pm • ESG Compliance

Panel Chair

Keri Bush, Senior Vice President, Global Head of Compliance, CI Financial

Panel

Robert B. Hirth, Jr., Senior Managing Director, Protiviti

Hyewong Kong, Vice President, Responsible Investing, Investment Management Corporation of Ontario

Tamara Close, Founder & Managing Director, Close Group Consulting

Henning Soller, Partner, McKinsey and Company

Although mandatory ESG compliance is still pending regulations in Canada, legal actions taken in Europe and the USA suggest there could be real and substantial financial and liability risks for non-compliance. How to prepare now to avoid potential fines and reputational risk.

2:45 pm • Break. 3:00 pm • Enforcement Issues Roundtable

Panel Chair

Bryan Tamblyn, Chief Compliance Officer, Chief AML Officer, Chief Privacy Officer, Cidel

Panel

Ivan Zasarsky, Partner, National Financial Crime Practice Leader, PwC Canada

Jacqueline Sanz, Managing Director, Canada Lead of Risk & Compliance Solutions, Protiviti

Lauren Tomasich, Partner, Litigation, Osler

A look at current compliance enforcement issues including bribery and corruption and economic sanctions risks. The risks surrounding cryptocurrencies including crypto exchange Kraken settlement for alleged sanctions violations.

4:00 pm • Cocktail Reception



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Naomi Andjelic Bartlett,
Senior Vice President, Chief Compliance Officer and Chief Privacy Officer, IGM Financial Inc.

She is responsible for the overall compliance program across the wealth management, asset management and corporate compliance functions for the

IGM group of companies. Naomi has extensive legal and compliance experience both in private practice and in the financial services industry including responsibilities as Chief Compliance Officer for IIROC full service and order execution-only, trust, insurance agency, mutual fund manager and private investment counsel businesses.



Sam Burns,
SVP, Digital, Applications, Data and Delivery, IGM Financial Inc.

In his current role, Sam leads digital technology transformation, including business architecture, enterprise project management office and data across IGM Group of Companies (IG Wealth Management, Mackenzie Investments, Investment Planning Council)



Jo Chan,
Chief Compliance Officer, Bull Capital Management Inc.

Jo is Chief Compliance Officer, Bull Capital Management Inc. She has over 15 years of wealth advisory and investment management experience. She was an investment analyst at Ernst & Young's Investment Advisory Services, an investment analyst at

Mercer Investment Consulting and an Assistant Portfolio Manager at Jarislowsky Fraser Limited. Jo is responsible for the firm's compliance policies and procedures, and ensures they maintain compliance with all securities regulations.



Tamara Close,
Founder & Managing Director, Close Group Consulting

Tamara is founder of Close Group Consulting, an independent and boutique ESG advisory firm. Tamara has over 25 years of combined experience in capital markets and ESG strategy.



Keri Bush,
*Senior Vice President, Global Head of Compliance, CI Financial**

Keri is Senior Vice President and Global Head of Compliance for CI Financial. She is responsible for the development and oversight of the compliance, privacy, financial crimes, and conduct risk management programs for CI Financial, globally.



Rebecca Cowdery,
Senior Counsel, Borden, Ladner, Gervais

Rebecca practises securities law, as well as corporate and commercial law with Borden Ladner Gervais LLP. She focuses on the compliance, regulatory and governance issues facing participants in the investment management industry. Rebecca has over 25 years of experience

working with the investment management industry as a lawyer and a regulator.



Chris Crowe,
Founder, CMBYND, Inc.

Chris founded his firm CMBYND to inspire and deliver compliance innovation. He leads a team of strategic hands-on consultants on transformational projects with results achieved in capital markets, wealth, retail banking, operations and leading edge bank-wide solutions.

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Nat D'Ercole,
Partner, Operations Leader,
AI Practice, Deloitte

Nat is the Data Transformation leader for Omnia AI, Deloitte Canada's artificial intelligence practice, providing a full range of advisory, implementation and managed services solution offerings. He is recognized for his long-standing relationships and result-driven outcomes in

modernizing finance and operations to enable business strategies, process improvement and regulatory compliance through innovative cloud, data transformation and AI ready platforms, products and solutions.



Camille Glover,
Vice President Compliance,
Investment Management
Corporation of Ontario*

Camille has over 20 years of experience in building and managing compliance departments at regulated entities. She is currently the Vice President Compliance at Investment Management Corporation of Ontario (IMCO), providing

leadership and direction in the management of compliance policies, building and enhancing IMCO's compliance framework, and providing guidance and support to the organization in the development, implementation, and maintenance of effective compliance programs.



Brigitte Goulard,
Senior Counsel,
Torys

Co-head of Torys' Consumer Protection practice and Fintech group, Bridgette has more than 30 years of experience working in the financial services industry, including the banking, insurance and financial cooperative sectors. With roles ranging from

general counsel and policy management to serving as the Deputy Commissioner of the Financial Consumer Agency of Canada for nearly five years, Brigitte has deep knowledge of the legislative framework applicable to financial institutions in Canada, with a particular emphasis on consumer protection matters.



Jessica Hansen,
Executive Director, Privacy
Lead Financial Services
Risk Management, EY

Jessica is an Executive Director and Privacy Lead for the Financial Services and Risk Management (FSRM) Team at EY Canada. The FSRM Privacy Team are responsible for both strategy and operationalizing

privacy programs for financial services organizations across Canada.



Nicole Henderson,
Partner, Litigation &
Dispute Resolution Group,
Blake, Cassels & Graydon
LLP

Nicole litigates class actions and other complex disputes, including in the areas of cybersecurity, product liability, and competition. She also practices public law, including

constitutional, administrative, regulatory and freedom of information matters.

In her cybersecurity practice, Nicole frequently advises organizations dealing with a data breach of information security incident.



Robert B. Hirth, Jr.,
Senior Managing Director,
Protiviti

Bob is a Senior Managing Director and served as Co-Vice Chair of the Sustainability Accounting Standards Board (SASB) and is COSO Chair Emeritus. He serves on Protiviti's global ESG steering committee and is a frequent

keynote speaker on the topic of ESG around the world. His experience includes auditing and accounting, sustainability reporting and standard-setting, internal control and risk management.



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Adam Kardash,
Partner, Privacy and Data Management; National Lead, AccessPrivacy, Osler

Adam leads Osler's national Privacy and Data Management practice. Adam has been lead counsel on many of the most significant privacy matters in Canada. He advises Fortune 500 clients in their business critical

data-protection issues, compliance initiatives and data governance. He regularly represents clients on regulatory investigations and security breaches.



Antoinette Leung,
Head, Financial Institutions and Mortgage Brokerage Conduct Financial Services Regulatory Authority

Antoinette is the Head of the Financial Institutions and Mortgage Brokerage Conduct team. Her team is responsible for conduct supervision of the credit

unions, mortgage brokerages and mortgage administrators, and related policy making. Antoinette also chairs the Mortgage Broker Regulators' Council of Canada. MBRCC is a forum for Canadian regulators to cooperate and share information to identify trends and address common issues.

Prior to joining FSRA, Antoinette was a member of the senior management team at the Ontario Securities Commission. She had extensive experience in compliance, risk and policy making with respect to mutual fund dealers, investment dealers, clearing agencies, trade repositories, self-regulatory organizations and investor protection funds. She had chaired and represented the OSC on various international and domestic regulatory committees driving harmonization in policy and application. She completed a secondment at Payments Canada in 2017-2018 as Director of Financial Market Risk, where she was responsible for leading the development of the risk and settlement models for Canada's wholesale, retail batch and real time payment systems in collaboration with the financial sector and the Bank of Canada.



Hyewong Kong,
Vice President, Responsible Investing, Investment Management Corporation of Ontario

As Vice President, Head of Responsible Investing, Hyewong leads Environmental, Social and Governance (ESG) strategies at IMCO. With over 20 years of experience in both corporate

and investment management in Asia, Europe and North America, Hyewong has managed and led sustainable investing as a portfolio manager and a subject matter expert on ESG. Prior to joining IMCO in 2020, she led responsible investing and ESG integration, while managing sustainable investing portfolios at AGF Investments.



Karen McGuinness,
Senior Vice President, MFD Member Regulation, Membership Intake and Innovation New Self-Regulatory Organization of Canada

Karen is responsible for MFD Member Regulation, Membership Intake & Innovation and the Office of the

Investor. Prior to her current role, Karen was most recently President and CEO of the Mutual Fund Dealer Association (MFDA), New Self-Regulatory Organization of Canada's predecessor organization.



Jonathan Moncrieff,
*Global Chief Compliance Officer, Fiera Capital**

Jonathan is Fiera Capital's Global Chief Compliance Officer. In this capacity, Jonathan is responsible for developing and managing the firm's compliance program and strategy on a global basis for overseeing the program's implementation

throughout the jurisdictions in which Fiera operates. Jonathan is also a member of the firm's Public Markets Management Committee, Private Markets Management Committee and Global Private Wealth Management Committee.



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Loren Schwartz,
Senior Director of
Regulatory Technology,
CIBC Capital Markets

Loren is the Senior Director of Capital Markets Regulatory Technology at CIBC and a Strategic Advisor to the Canadian RegTech Association. Loren has been the driving force behind Capital Markets'

Regulatory Technology strategy and delivery plan. Loren is a natural and highly experienced leader with a strong track record for consistently driving the organization to meet strategic goals, while balancing immediate demands for change.



Jacqueline Sanz,
Managing Director, Canada
Lead of Risk & Compliance
Solutions, Protiviti*

Jacqueline is Managing Director, Canada Lead of Risk & Compliance Solutions, Protiviti with a focus on the financial services industry. A business-centric leader recognized for significant

achievement in the development and implementation of effective risk-based integrated compliance frameworks and programs across multiple registrant categories and across international jurisdictions. A strategic thinker, able to provide risk-disciplined advice and support to meet key strategic business initiatives and priorities. Demonstrated capacity to leverage technology to help businesses focus limited resources on high risk, high-impact compliance risks while maintaining capacity to meet business priorities.



Marc Rotter,
Counsel, Ropes & Gray

Marc concentrates his practice on advising clients on securities law matters and capital market transactions, including public (closed gap) offerings and private placements and regulatory issues. Marc also advises clients on securities law issues related to blockchain, cryptocurrency and non-fungible tokens (NFT's).



Lawrence Ritchie,
Partner, Litigation, Osler

Lawrence Ritchie chairs Osler's national cross-disciplinary Risk Management and Crisis Response practice group and also co-leads the firm's Capital Markets Regulatory Enforcement and Broker-Dealer practice. Larry's experience encompasses all aspects of enforcement, regulatory proceedings and

related litigation, including class actions, across a range of capital markets, the financial sector and other regulated industries and activities. He advises public corporations, their directors, officers, and in-house counsel on avoiding, preparing for, managing and responding to extraordinary "crisis" situations, including regulatory actions and litigation, as well as conducting and responding to internal and regulatory investigations.



Henning Soller,
Partner, McKinsey and
Company

Henning serves banks throughout Europe and the Middle East on their large-scale IT and data transformation efforts, helping them overcome legacy obstacles and drive digitalization. He specifically focuses on bringing key innovation topics and the latest

developments to McKinsey as well as to his clients and leads several aspects of our innovation and knowledge work.



Bryan Tamblyn,
Chief Compliance Officer,
Chief AML Officer, Chief
Privacy Officer, Cidel*

As Chief Compliance Officer of Cidel Bank Canada, Cidel Trust Company and Cidel Asset Management, Bryan is responsible for managing the firm's compliance and AML programs. He has 15 years of

industry experience in compliance and risk management. Prior to joining Cidel, Bryan was the Chief Compliance Officer for UBS Bank (Canada). He holds the Fellow of the Canadian Securities Institute and the Chartered Investment Manager designations and is a Certified Anti-Money Laundering Specialist. Bryan is a Board Director for the UHN Foundation and a member of its Investment Committee.

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Lauren Tomasich,
Partner, Litigation, Osler

Lauren is a partner in the Osler litigation group and a key contact for the Domestic and International Arbitration Group. Her corporate and securities litigation practice involves expedited hearings before the Ontario Securities Commission, oppression claims and shareholder disputes. She has

also represented various companies facing class actions in a variety of circumstances, including privacy and data breaches, securities, product liability and pensions and benefits. Aggie Zander, Vice President Compliance, Governance, Enterprise Programs & Global Privacy Officer, Scotiabank Aggie has over 37 years of experience in the financial industry and 15 years of experience leading privacy programs. She has international experience in managing data protection requirements (GDPR)



Felicia Tedesco,
Deputy Director,
Operations Compliance
and Registrant Regulation,
Ontario Securities
Commission

Felicia is responsible for overseeing the regulation of firms and individuals advising or trading in securities or derivatives and managing

investment funds in Ontario. She is also responsible for providing strategic direction in the assessment and development of compliance oversight programs, tools and processes used to oversee the registrant population.



Ivan Zasarsky,
Partner, National Financial
Crime Practice Leader,
PwC Canada

Ivan is PwC's National Financial Crime Practice Leader and Global Financial Crime Innovation Leader. He has over 25 years of resident and global experience in leading surveillance and monitoring

program transformation and operation. This includes program design, implementation and operation at Canadian, U.S., European, and Asian financial institutions.



Aggie Zander,
Vice President Compliance,
Governance, Enterprise
Programs & Global Privacy
Officer at Scotiabank

Aggie is a Compliance Executive and business partner with over 35 years of experience in the financial industry and 18 year track record of successfully leading privacy programs. She is

proud to work for Scotiabank who was ranked 1st in Privacy Program amongst Canadian Banks in the 2022 Dow Jones Sustainability Index and top 96% percentile amongst Global Banks. Aggie is a thought leader in privacy, regulatory compliance and governance and is certified CIPP/C through the International Association of Privacy Professionals.

***Member, George Brown Program Advisory Committee responsible for overseeing the curriculum at the new Compliance Program.**

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the Value of your Regulatory Activities**

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