

Compliance Transformation Conference

Wednesday, June 19, 2024
9:00 am – 4:00 pm

George Brown Centre for Business
Waterfront Campus 51 Dockside Dr,
Toronto

Platinum

IGM
Financial

WEALTH
MANAGEMENT

MACKENZIE
Investments

Investment
Planning Counsel

Bronze

Cidel

CI FINANCIAL

protiviti®

Event Sponsor

TD fines for money laundering could hit \$2 billion, (CBC, May 3, 2024) What can you learn. What you should be doing now. Remediation Activities

What the Conference is About

- Impact of Generative AI
- 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
- Building a "Compliance Lab"

June 19, 2024

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

Who Should Attend

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

What is included in the fee

- Conference fee includes panels, lunch and networking reception
- Meet key Compliance and Risk Management leaders and network with compliance professionals

COMPLIANCE

Event Sponsor

Platinum



Bronze



8:00 am • Coffee

8:45 am • Welcome Remarks

9:05 am • Regulatory Framework Update 2024

Panel Chair

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

Panel

Felicia Tedesco, Deputy Director, Operations, Registration, Inspections and Examinations, Ontario Securities Commission

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

Marc Rotter, Counsel, Ropes & Gray

The role of the OSC, FSRA, CIRO, 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 of Accelerating Change

Panel Chair

Brigitte Goulard, Senior Counsel, Torys LLP

Panel

Keri Bush, Head of Global Conduct Risk & Chief Compliance Officer, Sun Life Canada

William Donegan, Senior Compliance Consultant, AUM Law

Wayne Bolton, former Chief Compliance Officer, Edward Jones

Junaid Subhan, VP Legal Affairs & Chief Compliance Officer, Sagard

Trends in regulatory changes, Conduct Risk, Visibility on Private Funds, Off-Channel Communications. What are the related compliance challenges organizations are facing today? How do risk appetite and technology adoption intersect with these discussions? Operating in more than one jurisdiction? Update on recent rulings and cases impacting firms.

10:45 • Networking Break

11:00 am • The “Lab Concept” - Innovation in Compliance

Panel Chair

Chris Crowe, Founder, CMBYND, Inc.

Panel

Anne Sonnen, SVP & Chief Compliance Officer, Sun Life

Keri Bush, Head of Global Conduct Risk & Chief Compliance Officer, Sun Life Canada

Joseph Lyman, VP Enterprise Financial Crime & Fraud Risk, Sun Life

Ghaleb El Masri, Managing Director & Partner, ADAPTOVATE

Innovation in Compliance. The evolution of Compliance. Integration of new technologies.

Experimenting to enhance corporate processes. An approach to start building a “Compliance Lab”.

Event Sponsor

Platinum



Bronze



12:00 pm • Lunch

1:10 pm • Announcing George Brown College's graduate certificate in Compliance, Fraud Detection and Ethics

1:30 pm • AML - A Current Update

Panel Chair

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

Panel

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

John Boscariol, Leader International Trade and Investment Law Group, McCarthy, Terrault LLP

Sue-Ling Yip, Partner, Forensic & Financial Crimes Practice, KPMG

TD faces \$2 billion in fines. What can you learn? What should you be doing now to make sure you are not next. Canadian economic sanctions - complying with change in law from last June. Remediation Activities.

2:45 pm • RegTech - Adopting AI & 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

Sandra Persaud, Director, Risk Advisory, Deloitte Canada

Shameel Thakrar CPA, CA, Vice President, Compliance Operations & Strategic Initiatives, IG Wealth Management

How to use RegTech solutions to help overcome compliance and regulatory hurdles and reduce compliance costs.

The impact of Generative AI looking at three key aspects,

- 1) How can we leverage generative AI as a compliance tool
- 2) If your business is using generative AI, ensuring that they are meeting the relevant laws and monitoring its use
- 3) Understanding Canada & privacy legislation around generative AI & "breaches".

4:00 pm • Networking Reception