

2nd

Regulatory Compliance for Financial Institutions

Key issues, latest development & best practices
for meeting your compliance obligations

April 14 & 15, 2015, Toronto

Workshop Included:
Web, Social Media and CASL

who should attend

Compliance Officers, VPs, Directors & In-house Counsel in the financial services sector, CFOs, CEOs, CIOs, Auditors, Financial Executives, Accountants, Brokers, Lawyers, Consultants, Regulators

course highlights

- Learn how to develop a risk management framework to avoid costly consequences
- Discover how to prepare for compliance with the new anti-spam legislation
- Benefit from insights into the latest OSFI corporate governance guidelines
- Explore consumer protection developments impacting the financial services industry
- Find out how to navigate emerging challenges in privacy compliance
- Examine how to balance priorities under a Basel III framework
- Establish a proactive financial crisis action plan
- Test the effectiveness of your anti-money laundering regime

Two-Day Event!



Course Leader
J. Bruce McMeekin,
J. Bruce McMeekin Law



Course Leader
Danielle Royal,
Stikeman Elliott LLP



Lincoln Caylor,
Bennett Jones LLP



Susan Han,
Miller Thomson LLP



John Jason,
Canadian Compliance Group Inc.



Brian Ludmer,
Ludmer Law



Janka Palkova,
**Sumitomo Mitsui Banking
Corporation of Canada**



Rissa Revin,
**Munich Reinsurance
Company of Canada**



Dan Ruch,
Equitable Bank



Ula Ubani,
BMO Financial Group

Susan Eapen,
Scotiabank Global Banking & Markets

Kuno Tucker,
ITG Canada

Speakers & Participating Organizations

COURSE LEADERS

J. BRUCE MCMEEKIN

J. Bruce McMeekin is Principal at **J. Bruce McMeekin Law**. Bruce has 25 years of experience as a litigator, with specific expertise in helping clients with regulatory investigations, inspections, prosecutions, and other forms of enforcement proceedings.

DANIELLE ROYAL

Danielle Royal is Partner at **Stikeman Elliott LLP**. Her practice focuses on complex commercial litigation. Danielle has significant experience advising and assisting companies regarding internal investigations and responding to regulatory or quasi-criminal investigations.

CO-LECTURERS

LINCOLN CAYLOR

Lincoln Caylor is a Partner at **Bennett Jones LLP**. Lincoln practises commercial litigation in a broad advocacy and investigative practice that deals with issues involving all aspects of fraud, errors and omission claims, securities litigation, commercial arbitration and contractual disputes.

SUSAN EAPEN

Susan Eapen is Director, Fund Management, Investment & Corporate Banking Compliance at **Scotiabank Global Banking & Markets**.

SUSAN HAN

Susan Han is Associate Counsel at **Miller Thomson LLP**. Her practice focuses advising portfolio managers, investment advisers, securities dealers, exempt market dealers and financial planners on their regulatory obligations, including securities compliance and registration matters.

JOHN JASON

John Jason is President of Canadian Compliance Group and Of Counsel to **Norton Rose Fulbright LLP**. For more than 20 years, John's career has focused on the regulation of financial institutions from both a legal and compliance perspective. Mr. Jason served as Senior Vice-President, Deputy General Counsel and Chief Compliance Officer at BMO Financial Group from 2009 to 2011.

BRIAN LUDMER

Brian Ludmer is Principal at **Ludmer Law**. His practice focuses on compliance, corporate commercial, securities law, internal control and corporate governance matters.

JANKA PALKOVA

Janka Palkova is a Vice-President Head of Compliance at **Sumitomo Mitsui Banking Corporation of Canada** (SMBC Canada). She has over 15 years of regulatory compliance, anti-money laundering (AML) & anti-terrorist financing (ATF) and risk management experience.

RISSA REVIN

Rissa Revin is Senior Vice President, General Counsel, Chief Compliance Officer and Head of Claims for Property and Casualty operations at **Munich Reinsurance Company of Canada**. She is experienced managing both high exposure litigation, and corporate & regulatory oversight.

DAN RUCH

Dan Ruch is Vice President Chief Compliance Officer at **Equitable Bank**. Dan has over 20 years of both senior corporate and management consulting experience in governance, risk, compliance and operations.

KUNO TUCKER

Kuno Tucker is Director, Chief Compliance Officer at **ITG Canada Corp**. Mr. Tucker is responsible for all compliance & legal matters for the company.

ULA UBANI

Ula Ubani is Chief Ethics Officer at **BMO Financial Group**. She has worked at BMO for 15 years, and previously held positions in International Banking, Risk Management, and Investor Relations.

COURSE PROGRAM

OVERALL RISK MANAGEMENT

Financial institutions increasingly must anticipate, manage and mitigate the adverse impacts that can be associated with a variety of risk factors including: internal and external fraud, money laundering, rogue employees, anti-corruption, CSR, and a host of other non-core business operational and customer risks. This discussion details how to stay abreast of the risk environment and develop an appropriate risk management system.

- The role of corporate and sector codes of conduct
- Specific risk management issues for financial institutions
- The importance of leadership and firm culture in risk management
- Developing and implementing effective regulatory compliance frameworks
- Best practices for managing evolving financial sector risks

GOVERNANCE GUIDELINES

Financial institutions in Canada are held to very high standards of governance and are expected to be aware of emerging practices. As regulatory changes occur, firms need to review internal controls, corporate governance practices, information systems and staff training programs to keep them up-to-date. This session will review emerging trends in governance with a particular emphasis on OSFI's Corporate Governance Guidelines.

- Evolving governance requirements for financial institutions
- OSFI's Corporate Governance Guidelines: obligations and challenges of latest governance guidelines
- Role of the board and management in governance and risk oversight
- Structuring good governance practices to detect risks
- Developing a governance plan that addresses new obligations
- Integrating risk management strategies into your governance framework

webcast



While nothing compares to the experience of attending the live event, with its enhanced networking opportunities and direct contact with leading experts, for those unable to attend in person FP provides a convenient option to still benefit from this unsurpassed learning experience:

FP's live interactive Webcasts allow you to actively participate in events, from downloading all material distributed by lecturers to asking speakers questions.

COMPLIANCE RISK INTEGRATION: EVOLVING WITH COMPLEX TIMES

Financial institutions must employ cohesive compliance management solutions to help guard against evolving risk factors, such as money laundering risk, operational risk, regulatory risk, customer risk and the potential impacts of financial loss and/or reputational damage.

- Developing and implementing a regulatory compliance framework
- Ensuring the various and often disparate compliance areas integrate and communicate effectively with each other
- Ensuring the compliance and Legal departments work collaboratively but still operate independently
- Integrating the compliance function into the institution's broader risk management framework (i.e., attaining the goal of enterprise-wide risk management)
- Special risk management issues for financial institutions

PRIVACY & ORDERS REQUIRING THE PRODUCTION OF CLIENT INFORMATION

Financial institutions accumulate massive amounts of personal information pertaining to their customers. At times, these institutions are faced with orders requiring the production of client information subject to protection under the privacy legislation. This session will explore practical strategies for achieving compliance with privacy regulations.

- Overview of privacy regulation framework for financial institutions
- Key challenges to privacy compliance for FIs
- Developing compliant policies for storing and maintaining electronic records
- Preparing for and responding to law enforcement inquiries

CRISIS MANAGEMENT

Financial institutions are required to be proactive in guarding against the fallout from a future financial crisis. This session will explore the practical requirements of a crisis management plan.

- Requirements regarding proactive measures FIs should take
- Establishing detailed plan of action in case of financial crisis
- Key elements of an effective crisis management plan
- Reporting requirements in time of crisis
- Anticipating/identifying issues early and developing strategies to manage them
- Rebuilding post-crisis customer confidence

ANTI-MONEY LAUNDERING

As money laundering methods and techniques have become more creative, so to have the need for financial institutions to respond more effectively to the threat. Recent reforms of federal FI legislation & regulations to conform with Financial Action Task Force requirements have added increased complexity to an already complicated field. This discussion details the latest developments AML regulation and compliance programs.

- Recent trends: increased risk and practical implications of money laundering
- Latest legislative and regulatory updates: the impact of AML legislation & regulations
- Establishing practical anti-money laundering compliance measures and programs
- FATF's recommendations for anti-money laundering practices
- Understanding the risk and monitoring transactions: why enhanced due diligence is the key to protecting your company
- How to comply with FINTRAC & OSFI's latest guidelines
- Best practices for testing your AML regime

DEALING WITH ADMINISTRATIVE MONETARY PENALTIES

The use of administrative monetary penalties (AMPs) as a regulatory compliance tool is expanding into a number of areas of regulatory concern and represents a new and substantial source of corporate liability. This discussion details recent AMPs developments as well as how to avoid or mitigate their imposition. We will answer:

- What are AMPs?
- When they can be imposed?
- The role of due diligence, if any?
- How are they calculated?
- How are AMPs challenged/appealed?
- What are penalty reduction agreements?

BASEL III

Basel III guidelines concerning financial institution capital levels may have been drafted in response to the negative impact large banks had on the global economic crisis, but smaller banks, credit unions and trust companies are likely to feel its effects on their financial operations. This session will look at the impact of Basel III on non-bank financial institutions.

- Key components and challenges of new guidelines
- How the accord will affect bank lending
- Impact on how determine capital adequacy
- Changes to calculation of market risks

WORKSHOP

WEB, SOCIAL MEDIA AND CASL

The rapid growth in the use of smartphones and social media sites have brought about new opportunities and risks for FIs. As well, the majority of Canada's anti-spam legislation came into force July 1, 2014. This session will offer practical advice for remaining compliant with the regulatory framework pertaining to online and social media tools.

- Establishing compliance program for CASL obligations and requirements
- Adapting your databases & CRM systems for compliance
- Customizing social media & BYOD procedures
- Complying with privacy, data protection and consumer protection laws when using online customer tracking and profiling
- Compliance best practices: anti-spam, privacy, e-commerce, online advertising law

PROCEEDINGS

The "Proceedings" is your Web repository of learning resources for this event. It includes:

- the recording of the lectures at the forthcoming event itself, including documentation, slides and audio-visual;
- 25 or more carefully selected additional lectures (below), which are intended as a recommended enrichment of the course content, with many additional topics covered.

The price of the Proceedings (one user licence) is \$299 if you are attending in person or by Webcast; or \$799 otherwise.

Anti-Money Laundering & Foreign Corruption: Control & compliance
Sal Jadavji
MCAN Mortgage Corporation

The Role of Internal Communications in Crisis Situations
Kimberly Frey
ATB Financial

Defining the General Counsel's Governance Role in Working with the Board
Charles Alexander
Citibank Canada

Regulatory Investigations Best Practices: Detection and Fact Finding Techniques
Mark Katz
Davies Ward Phillips & Vineberg LLP

Following the Scope and Legal Principles of Regulatory Investigation
Kenneth Jull
Baker & McKenzie LLP

Designing and Implementing a Privacy Compliance Program
David M.W. Young
McMillan LLP

Pension Legislation & Regulation: What You Need to Know
Priscilla H. Healy
Fogler Rubinoff LLP

E-Discovery Issues in Regulatory Proceedings
Alexandra S. Clark
Ontario Securities Commission

The Implications of R V Nolet and R V Jarvis for Regulatory Investigators
Carole Sheppard
Public Prosecution Service of Canada

Enacting an AML Risk Assessment Program for Financial Institutions
Ron P. King
Scotiabank

Managing an AML Program That is Unique to Your Business
Wayne Bolton
AIM Trimark Investments

Workshop: New COSO Framework for Internal Controls
Massood Oroomchi
FinEx Consulting Group

Developing Governance Strategy, Policies and Protocols to Manage Social Media Legal Risks
Giuliana Marinelli
Royal Bank of Canada

Dealing with Increased IRS Tax Enforcement Audits
Stephen Eng
KPMG LLP

Conducting a Forensic Technology Investigation at TD Bank Group
René Hamel
Shared Services TD Bank Group

Crisis Management & Internal Investigations
David Elzinga
Grant Thornton LLP

Fraud Prevention & Detection Techniques in Treasury Processes
Peter Dent
Deloitte & Touche LLP

Current Issues in Anti-Money Laundering and Anti-Terrorist Financing Legislation and Regulation
Koker Christensen
Fasken Martineau DuMoulin LLP

The Role of Senior Management in Combating the Financing of Terrorism
Michael R.C. Davenport
Bank of Nova Scotia

Identifying & Monitoring High-Risk Clients
Wayne Bolton
AIM Trimark Investments

Pension Legislation & Regulation: What You Need to Know
Michael Peters
Financial Institutions Commission of B.C.

Facing Up to the Challenge of Anti-Money Laundering Within the Banking Sector
James Hunter
KPMG Forensic

Role of Senior Management in Combating the Financing of Terrorism
Michael R.C. Davenport
Bank of Nova Scotia

ERM in the Financial Services Industry: Practical Tactics for an Implementation
Steve Hammond
Royal & SunAlliance Insurance Company of Canada

International Anti-Fraud & Corruption Enforcement Activity
Riyaz Dattu
Osler, Hoskin & Harcourt LLP - Toronto

Registration: To reserve your place, call Federated Press toll-free at 1-800-363-0722. In Toronto, call (416) 665-6868 or fax to (416) 665-7733. Then mail your payment along with the registration form. Places are limited. Your reservation will be confirmed before the course.

Location: Courtyard by Marriott Downtown Toronto, 475 Yonge Street, Toronto, ON, M4Y 1X7

Conditions: Registration covers attendance for one person, the supplementary course material as described in this document, lunch on both days, morning coffee on both days and refreshments during all breaks. The proceedings of the course will be captured on audio or video.

Time: This course is a two-day event. Registration begins at 8:00 a.m. The morning sessions start promptly at 9:00. The second day ends at 5:00 p.m.

Cancellation: Please note that non-attendance at the course does not entitle the registrant to a refund. In the event that a registrant becomes unable to attend following the deadline for cancellation, a substitute attendee may be delegated. Please notify Federated Press of any changes as soon as possible. Federated Press assumes no liability for changes in program content or speakers. A full refund of the attendance fee less 15% administration fee will be provided upon cancellation in writing received prior to March 31, 2015. No refunds will be issued after this date.

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