

The *Osgoode* Certificate in  
**Regulatory Compliance & Legal Risk Management for  
Financial Institutions**  
January – April 2021

**The Fundamentals of Regulatory Compliance & Legal Risk Management  
for Financial Institutions**

**(also called: The Osgoode Certificate in Regulatory Compliance & Legal  
Risk Management for Financial Institutions, Module 1 – Compliance  
Fundamentals)**

**ONLINE REPLAY: May 6, 2021  
8:30am – 4:30pm EDT**

**AGENDA**

**Pre-Work/Review Online Primer in Advance** (*strongly recommended*)

- ***The Regulatory Landscape Primer for Financial Institutions*** (approx. 52 mins)
- ***Introduction to Compliance Primer for Financial Institutions*** (approx. 46 mins)

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**8:30 a.m. Chairs' Welcome & Opening Remarks**

**8:45 a.m. Why is Compliance a Priority in Regulated Industries?**  
**J-P Bernier**, Retired Executive from Canada's Financial Industry  
**Michael Holder**, General Counsel and Chief Compliance Officer, Delphia

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**9:45 a.m. Health Break**

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**10:00 a.m. Navigating the Regulatory Landscape – Perspectives for Banking, Capital  
Markets and Insurance**  
**Kate Archibald**, Senior Vice President & Chief Compliance Officer, Invesco Canada  
**Paul Belanger**, Blake, Cassels & Graydon LLP  
**John Lewsen**, Retired Insurance Chief Compliance Officer  
**Ilona Niemi**, Group Chief Compliance Officer, The Co-operators Group Limited

**11:00 a.m. The Nuts & Bolts of a Successful Compliance Program – Part 1**  
**Domenic Commisso**, Senior Manager, Canadian Banking Compliance, TD Bank Group  
**Geoff Ritchie**, General Counsel & Corporate Secretary, Mawer Investment Management Inc.  
**Joann Sochor**, AVP, Corporate Compliance, Sun Life

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**12:15 p.m. Lunch Break**

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**1:00 p.m. The Nuts & Bolts of a Successful Compliance Program – Part 2**

**1:45 p.m. Risk Management Fundamentals: Types of Risk & Qualitative Control**  
**Katherine Macpherson**, Associate Partner and Canadian Leader, Non-Financial Risk, Ernst & Young LLP  
**Waqas Rana**, Vice President | Chief Compliance Officer, Old Republic Insurance Group

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**2:30 p.m. Health Break**

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**2:45 p.m. Risk Management Fundamentals: Types of Risk & Qualitative Control**  
(continued)

**3:30 p.m. Fireside Chat: Navigating the Interactions Between Compliance, Risk & Legal**  
**Moderator:**  
**Joann Sochor**, AVP, Corporate Compliance, Sun Life

**Panel:**

**Jasmin Jabri**, Compliance Executive  
**Katherine Macpherson**, Associate Partner and Canadian Leader, Non-Financial Risk, Ernst & Young LLP  
**Geoff Ritchie**, General Counsel & Corporate Secretary, Mawer Investment Management Inc.

**4:30 p.m. Program Concludes**