

The *Osgoode* Certificate in
**Regulatory Compliance and Legal Risk Management for
Financial Institutions**

January 26, February 9, 23, March 9 and 30, 2023

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

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

**January 26, 2023 (Online – Live)
May 5, 2023 (Online – Replay)**

(includes 120 days unlimited online access to program and primers)

AGENDA

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

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

9:00 a.m. Chairs' Welcome & Opening Remarks

9:15 a.m. Nuts & Bolts of a Successful Compliance Program

Amy Aubin, Chief Compliance Officer, Waypoint Investment Partners Inc. and
True Exposure Investments Inc

Domenic Commisso, Legal Counsel, TD Bank Group

Joann Sochor, AVP, Corporate Compliance, Sun Life

10:30 a.m.

Health Break

10:45 a.m. Nuts & Bolts of a Successful Compliance Program (cont'd)

Amy Aubin, Chief Compliance Officer, Waypoint Investment Partners Inc. and
True Exposure Investments Inc

Domenic Commisso, Legal Counsel, TD Bank Group

Joann Sochor, AVP, Corporate Compliance, Sun Life

12:00 p.m.

Lunch Break

1:00 p.m. Risk Management Fundamentals: Types of Risk & Qualitative Controls
Katherine Macpherson, Compliance Executive
Waqas Rana, Vice President | Chief Compliance Officer, Old Republic Insurance

2:30 p.m.

Health Break

2:45 p.m. Building Resilience During Times of Uncertainty
Adeline Cheng, National Lead, Regulatory Compliance Canada, Ernst & Young LLP
Michael Holder, Managing Director, North Star Compliance & Regulatory Solutions Inc.

3:45 p.m. Power Session: Overview of Managing Reviews, Exams & Complaints
Candance Seton-Rogers, Managing Director, Compliance Program Management and COO LRC, BMO Financial Group

4:30 p.m. Module One Concludes