

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

January 25, February 8, 22, March 7 and 21, 2024

**[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 25, 2024 (Online – Live)
May 9, 2024 (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, Senior Counsel, Legal Department, 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)

12:00 p.m. Lunch Break

1:00 p.m. Risk Management Fundamentals: Types of Risk & Qualitative Controls
Katherine Macpherson, Compliance Executive

2:30 p.m. Health Break

2:45 p.m. Compliance Officer of the Future – Resilient and Future-Proof
Heather Andersen, Partner, Enterprise Architecture & Resiliency, Ernst & Young LLP
Adeline Cheng, Partner, National Leader - Regulatory Compliance & ORM / Resilience 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, Vice President, Canadian Chief Compliance Officer, WM and P&BB, BMO Financial Group

4:30 p.m. Module One Concludes