NATIONAL FORUM:
ARTIFICIAL INTELLIGENCE (AI), ETHICS AND THE LAW FOR FINANCIAL SERVICES

PROGRAM CHAIRS

Andriana Cvetkovik
AVP, Global Privacy and Data Ethics at Sun Life

Diana Drappel
Assistant General Counsel, Emerging Technologies and Data, RBC

REGISTRATION OPTIONS

June 19, 2024
10:00 a.m. – 5:00 p.m. ET
Online (Live)

OR

September 10, 2024
10:00 a.m. – 5:00 p.m. ET
Online (Replay)

Can't make the date?
Registration includes 120-day unlimited, online access to the recorded program.

Artificial intelligence has revolutionized operations in financial services, while also increasing the potential for serious risk. Are you confident in your ability to successfully manage evolving AI-related risks?

Amidst a rapidly changing legal landscape, regulators are prioritizing their focus on the responsible use of AI in financial services. As expectations grow in this area, so, too, does the risk of taking costly and burdensome missteps.

Get crucial updates and guidance from technical, legal and financial leaders in Canada, and secure your knowledge and capabilities in this high-stakes area.

- AI technology features, distinctions, use cases, risks and challenges in the financial industry
- Overview of the legal and regulatory landscape in Canada and globally
- Recent and emerging regulatory guidance, including tips for interacting with regulators
- How other jurisdictions are addressing AI-related legal, ethical and privacy concerns
- Strategies for navigating complex and emerging challenges, including GenAI-specific risk

Register today at:
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National Forum:
Artificial Intelligence (AI), Ethics and the Law for Financial Services

AI is developing faster than the law.

At the same time, the legal and regulatory landscape is shifting, making it imperative that financial services professionals stay on top of what's happening nationally and globally.

In one day, you will learn about the nuts and bolts and the use of AI technology in financial services, as well as how to recognize and address the challenges it presents. Get the legal and practical knowledge and tools you need to effectively navigate AI-related risk in this dynamic and highly regulated area.

Topics Include

- The expected impact of the European Artificial Intelligence Act as well as other US and global developments
- Tools for addressing transparency and explainability challenges and for ensuring that decisions are being made fairly
- Insights for verifying underlying data confidentiality and IP assumptions and concerns
- Techniques for creating adaptive AI-responsible frameworks, including building expertise to support human oversight and risk-based decision-making
- Tips for working with stakeholders to develop suitable design, monitoring and testing strategies
- How and why developing an "effective challenge approach" will enhance the broader organizational risk culture
- Best practices for dealing with complex third-party model risk management issues

Who Should Attend

- In-house legal counsel in financial services
- Lawyers and legal professionals working in financial services, privacy, IT, and mergers and acquisitions
- Compliance and risk officers and professionals
- Privacy and data governance professionals
- Data ethics professionals, trust officers
- Data analytics, data strategy teams
- Information management professionals
- Third party vendors

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Agenda

10:00 a.m.

Program Chairs' Welcome and Overview

Andriana Cvetkovik
AVP, Global Privacy and Data Ethics, Sun Life

Diana Drappel
Assistant General Counsel, Emerging Technologies and Data, RBC

10:15 a.m.

Current Artificial Intelligence Technology and Use Cases in Financial Services

Dan Adamson
Co-Founder and Interim CEO, AutoAlign AI; Co-Founder, Armilla Assurance/AI, and PointChain Technology; Advisor, Exiger

Dave Keirstead
VP, Chief Data & Analytics Officer Canada, Sun Life

Tamara O'Connell
Patent Portfolio Manager, University of Toronto - Innovations & Partnerships Office

Learn how AI technology is used in financial services and how to recognize and address the complexity of the inherent risks. Faculty will focus on the mechanics and distinctions of each technology, typical use cases, opportunities, and challenges in the Canadian financial industry.

- Overview of current AI technology and how it is being used in the financial industry
- The anatomy, mechanics and terminology of machine learning (ML), predictive analytics, and generative AI (GenAI)
- How each technology works, how the models are built and the key differences between ML, AI and GenAI
- A critical analysis of the application and common use cases within the financial industry
- Emerging technology: where are things going?

11:45 a.m.
Break

12:00 p.m.

The Legal and Regulatory Landscape of AI and the Impact on Financial Services

Carole Piovesan
Co-Founder, Partner, INQ Law

Jasmine Samra
Counsel, Gowling WLG LLP

Ms. Piovesan and Ms. Samra will examine the latest developments in AI-related law, regulation and policies and how financial institutions are currently navigating them. They will also outline current and emerging standards and guidelines for financial services, nationally and globally, including:

- The current state of the law in Canada and how it impacts financial services

- Emerging laws, policy developments and regulatory guidance in Canada and globally

- How the EU AI Act, the world's first comprehensive AI law, will impact AI regulation globally and in Canada

- How financial institutions in other jurisdictions are navigating increased scrutiny in this area, despite lagging legal and prescriptive regulatory guidance

- The application of existing legal frameworks and strategies

1:30 p.m.
Lunch Break

2:15 p.m.

Building a Responsible AI Framework

Andriana Cvetkovik
AVP, Global Privacy and Data Ethics, Sun Life

Suzanne Morin
VP, Enterprise Conduct, Data Ethics & Chief Privacy Officer, Sun Life

Andres Rojas
Director, Applied AI Projects, Vector Institute

This panel will delve into key AI-related ethical and privacy principles contributing to the changing regulatory environment and what organizations can do to augment their privacy management programs with AI governance. They will also outline techniques and strategies to develop frameworks for augmenting responsible AI programs and associated policies, and the processes required to align with emerging regulations and expectations.

- How to identify and address privacy and ethical considerations, and to evaluate and prioritize legal and organizational risk

- What are the GenAI-specific risks?

- How to create adaptive AI-responsible governance polices and frameworks in the context of a changing regulatory environment

- Techniques for embedding an "effective challenge approach" within the governance framework to enhance the broader organizational risk culture

- How to build expertise to support human oversight and risk-based decision making

3:30 p.m.
Break

3:45 p.m.

Managing Complex and Emerging Risks: 3rd Party Model Risk and Open Source GenAI

Olalekan (Wole) Akinremi
Partner, Deeth Williams Wall LLP

Brian Chau
Partner, Norton Rose Fulbright Canada LLP

Diana Drappel
Assistant General Counsel, Emerging Technologies and Data, RBC

Gain expert insight into the risks specific to the use of third parties for outsourcing and model development, including the sharing of large amounts of data, third-party methodology and underlying assumptions, and whether they comply with the privacy and ethical principles defined by the financial institution.

- Understanding third party risk – why is it so complicated?

- Addressing transparency, explainability, and IP concerns

- Identifying and managing emerging litigation risk

- Securing data confidentiality, compliance and operational risk issues

- Open source GenAI – overview of the inherent risks and challenges, emerging trends and expectations, as well as strategies for navigating them in areas such as bias, output opaqueness, privacy and cybersecurity

5:00 p.m.
Program Concludes

Here's what some participants who attended our related programs had to say:

> *This course is worth it, and highly recommended. Each section was well-designed and thought out. All were strong.*

Afamefuna Okeke
Regulatory and Privacy Compliance, ATB Financial

> *The online platform, the quality of the live stream and the availability of materials were stellar. The quality of the presentations, the materials and the valuable experience shared by the presenters/panelists was nothing short of top-tier. I can genuinely incorporate the presentations and PDF materials (a treasure trove of substantive materials) into my daily practice immediately, thus making me a more effective in-house legal professional.*

Luca Cerasuolo
Legal Counsel, TD Insurance, TD Bank Group

Chairs

Andriana Cvetkovik
AVP, Global Privacy and Data Ethics, Sun Life

Diana Drappel
Assistant General Counsel, Emerging Technologies and Data, RBC

Faculty Includes

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Jasmine Samra
Counsel, Gowling WLG LLP

Here's what some participants who attended our related programs had to say:

" *Great roster of faculty, excellent presentations and discussion, thought-provoking case study.* "

Andrea Smith, Director, Vector Institute

" *Excellent. The program is well organized, covered a wide range of topics, and I was really impressed with the scope and depth of content. I am sure I will benefit from this program for years to come.* "

Sean Zou, Representative and Head of Legal and Compliance Designate, Bank of Communications Co., Ltd. (Toronto Representative Office)

Registration Details

Fee per Delegate: $795 + TAX
Newly Licensed*: $397.50 + TAX

*This fee applies to newly licensed regulated professionals within the past 2 years

Fees include attendance and electronic program materials. Group discounts are available. Visit www.osgoodepd.ca/group-discounts for details. Please inquire about financial assistance.

Program Changes

We will make every effort to present the program as advertised, but it may be necessary to change the date, location, speakers or content with little or no notice. In the event of program cancellation, York University's and Osgoode Hall Law School's liability is limited to reimbursement of paid fees.

Cancellations and Substitutions

Substitution of registrants is permitted at any time. If you are unable to find a substitute, a full refund is available if a cancellation request is received in writing 14 days prior to the program date. If a cancellation request is made with less than 14 days notice, a $75 administration fee will apply. No other refund is available.

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