

Join ICSA (Ontario Branch) for the Professional Development Session, dedicated to the development of Governance, Risk and Compliance Professionals.



Luncheon Program
Thursday, April 27, 2017
The Albany Club
91 King St E Toronto, Ontario
Register Today!

Financial Industry Best Practices: Corporate and Governance Risk, Market Risk Reporting and Audit Sweeps

Please join us for this informative Professional Development Luncheon Session.

A representative from OSFI will discuss OSFI Governance Approach to Financial Institutions to address their risks, comply with requirements while achieving their corporate strategies objectives. The Bank of Montreal Panel will be discussing Market Risk and Operations governing the Enterprise which, while primarily focused on financial institutions, will be beneficial to all those responsible for the risk management aspects in any organization. A corporate/ securities lawyer from Borden Ladner Gervais will provide updates on CSA Initiatives and Audit Sweeps of relevance to all categories of securities registrants.


Attendance at this Professional Development Session free of charge and eligible for 2 hours of formal ICSA Continuing Professional Development (CPD) for ICSA Members.

Schedule of Events

Agenda:



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| 11:45 –12:00 | Welcome, Faculty Introductions and Lunch/Dessert |
| 12:00 – 12:45 | Keynote Luncheon Speaker: Maria Moutafis, Managing Director, OSFI, “OSFI’s Approach to Corporate and Risk Governance” |
| 12:45 – 1:30 | Steven Lee and John Berdeklis, BMO FG, “Enterprise Risk Management: Market Risk Road to Operational Excellence” |
| 1:30 – 2:00 | Michael Taylor, Securities Lawyer, BLG, “Regulatory Landscape Trends and Issues ” |
| 2:00 –2:15 | Closing Remarks |
| Registration (RSVP deadline April 20, 2017) | Members: Complimentary - click here to sign in and confirm your registration (Christina is available to help if you need password assistance!). Non-Members: \$30 , click here to register. |

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| SPEAKER BIOS | Steven Lee | <p>Steven Lee is the Director, Market Risk, Risk Infrastructure division at the Bank of Montreal Financial Group (“BMO”). Since joining BMO in 2004, Steven has been instrumental in key infrastructure initiatives in areas such as counterparty credit reporting and market risk reporting, contributing to the operational excellence of the risk management program. With his latest appointment in Risk Infrastructure, Steven has been asked to deliver on a modernized platform (Next Gen) for BMO to be ready for the next challenge in changing regulatory requirement.</p> <p>Steven holds a Bachelor of Applied Science degree from University of Waterloo and a Master of Business Administration from Schulich School of Business – York University.</p> |
| | John Berdeklis | <p>John Berdeklis, Director, Market Risk, Risk Operations, has over ten years of risk management knowledge and best practices at the Bank of Montreal Financial Group (“BMO”). Through his services at BMO, John has touched on various facets in the Market Risk program, including Technology, Risk Analytics, Oversight, Infrastructure, and Operations. Using his wealth of experience, John, like Steven, has been tasked with the delivery on the Next Gen platform for a modernized approach to the Market Risk program at BMO.</p> <p>John obtained both his Master in Mathematical Finance and his Master in Physics from the University of Toronto.</p> |
| Plenaries | Session Time | BORDEN LADNER GERVAIS |
| SPEAKER BIO | Plenary Session 3 | 1:30 pm to 2:00 pm |
| | SPEAKER BIO | Regulatory Landscape Trends and Issues |
| SPEAKER BIO |  Michael Taylor, Securities Lawyer | <ul style="list-style-type: none"> • Best Standards for Asset Management and Capital Markets • CSA Current Regulatory Initiatives • Current Compliance Issues Faced by Advisors and Dealers <ul style="list-style-type: none"> ✚ Cyber Security ✚ CSA Compliance Sweeps |
| SPEAKER BIO | Michael Taylor | <p>Michael Taylor is an associate in the Toronto office of Borden Ladner Gervais LLP practicing in the Securities and Capital Markets and Investment Management Groups. His practice focuses on the regulatory requirements applicable to investment funds and advising securities registrants throughout their securities registration and compliance lifecycles. He also has experience in assisting clients with adherence to ISDA protocols and in preparing derivatives documentation. Michael holds JD, University of Toronto, 2011 and B.Sc. (Hons.) in Human Biology, University of Toronto, 2006.</p> <p>Publications:</p> <ul style="list-style-type: none"> • Author, "<u>What Data Related to Your Reportable Derivative Transactions Will Be Disseminated Publicly in July 2016?</u>, <i>BLG Derivatives Bulletin</i>, November 2015. • Author, "<u>Don't be Late to the Party: The CSA Releases Proposed Rules Relating to Mandatory Central Counterparty Clearing</u>," <i>BLG Derivatives Bulletin</i>, February 2015 (with Carol Derk). • Author, "<u>Further Delays to Derivatives Data Reporting in Ontario and Some Good News for Firms Subject to EU Derivatives Trade Reporting Rules</u>," <i>BLG Derivatives Bulletin</i>, February 2015 (with Carol Derk). • Author, "<u>Disclosing ‘Outside Business Activities’ - OSC Amnesty Deadline Ends March 27, 2015</u>," <i>BLG Investment Management Bulletin</i>, January, 2015 (with Laurie J. Cook and Matthew Williams). |