

Integrated Due Diligence For Financial Institutions

Comprehensive Examination of Essential Pre-Transaction Decisions

June 6 - 7, 2018 • Toronto

Course Objectives

Know before you go! A thorough due diligence review is the most effective way to avoid costly surprises and reputational damage due to issues that are not detected before major decisions are made. Whether your institution is involved in a major acquisition deal or launching a new product, a risk-based due diligence process will provide assurance that all high-risk items have been identified, assessed and addressed, prior to approval and implementation.

This seminar covers all aspects of the due diligence process applied by financial institutions, in either a proprietary or fiduciary capacity, before major business decisions are made. In addition to familiarizing participants with the overall due diligence process, this course addresses specific risks related to mergers and acquisitions, know your customer, new product approval and outsourcing.

Course Leader



Mario Mosse has 40 years of experience in operational risk management, internal audit and regulatory compliance at financial services companies. He is the president of MMosse Consulting, LLC, where he provides risk management advice and training to the financial services industry. Previously, he was the head of Operational Risk Management at Prudential Financial, Inc. Prior to joining Prudential, Mosse was with The Chase Manhattan Bank, where he held several senior positions in Internal Audit and Risk Management, including South America Regional Audit Executive and Head of Risk Management for the Corporate Finance Sector.

Course Agenda

Program – June 6

Setting the Stage: Basics of Due Diligence

- Definitions
- Types of Due Diligence
- Significant Steps in the Process
- Legal and Regulatory Background
- Risk-Based Due Diligence
- Risk Assessment and Prioritization
- Due Diligence Reports
- Discussion of the Relevance for Financial Institutions

Due Diligence in Mergers & Acquisitions

- Financial Matters
- Technology/Intellectual Property
- Customer/Sales
- Strategic Fit
- Material Contracts
- Employee and Management Issues
- Litigation
- Tax Matters
- Antitrust and Regulatory Issues
- Insurance

Program – June 7

Customer Due Diligence

- Customer Identification Program (CIP)
- Covered customers
- Data Collection: individuals, institutions, official/governmental organizations
- Verification: documentary vs non-documentary
- Customer Due Diligence (CDD)
- Enhanced Due Diligence (EDD)
- Logical Consistency
- Additional Measures
- Data from External Financial Institutions
- Service Providers
- High Risk Accounts

Product Due Diligence

- Product Development Life Cycle
- Policy, Governance and Methodology
- Product Development Process
- Risk Assessment Protocol
- New Product Approval
- New Product Implementation
- Post-implementation Review
- Product Monitoring

Due Diligence of Third Party Providers

- Strategies and Goals
- Legal and Regulatory Compliance
- Financial Condition
- Business Experience and Reputation
- Fee Structure and Incentives
- Qualifications, Backgrounds, and Reputations of Company Principals
- Risk Management
- Information Security
- Management of Information Systems
- Resilience
- Incident-Reporting and Management Programs
- Physical Security
- Human Resource Management
- Reliance on Subcontractors
- Insurance Coverage
- Conflicting Contractual Arrangements with Other Parties

This two day course runs from 9:00 a.m. – 4:30 p.m. each day including lunch as well as morning and afternoon breaks.



Risk Data Management & Reporting

June 4 - 5, 2018 • Toronto
**Integrated Due Diligence for
Financial Institutions**

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Registration Fees

Registration Options	Before March 12, 2018	Before March 26, 2018	After March 26, 2018
Risk Data Mgt/Reporting	\$1,799.00 + HST	\$1,899.00 + HST	\$2,299.00 + HST
Integrated Due Diligence	\$1,799.00 + HST	\$1,899.00 + HST	\$2,299.00 + HST
Both Events	\$3,399.00 + HST	\$3,599.00 + HST	\$4,399.00 + HST

Pre-registration fees include all documentation, continental breakfasts, lunches and refreshments. Parking and accommodation are not included. Please make all cheques payable to **Acumen Information Services**.

I cannot attend but please keep me informed of future events

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Mr./Ms./Mrs. _____ Title _____ E-mail: _____

Mr./Ms./Mrs. _____ Title _____ E-mail: _____

Company _____

Address _____

City _____ Province _____ Postal Code _____

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- Register Now!** ☎ Fax your completed registration form to **(416) 504-6978**; or
 ✉ Mail your completed registration form to **Acumen Information Services, Suite 1100, 151 Yonge Street, Toronto, Ontario, M5C 2W7**; or
 @ E-mail your registration to **info@acumeninformation.com**; or
 ☎ Call **(416) 504-6952** for registration assistance and additional information.

Payment Options: Please invoice me Payment enclosed

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Card number: _____ Expiry date: _____ Security No. _____

Signature: _____

Travel Information: Yes, please send me a **free** Toronto and Area Information Package

HST No. R862562543

Location and Timing

The conference will be held at a convenient location in downtown Toronto/Calgary. Venue information and special conference pricing details will be provided upon confirmation of the venue.

Delegates can register at the Acumen service desk beginning at 8:00 a.m. on the morning of the first day of the conference.

Registration fees do not include hotel accommodation.

The Acumen Guarantee

If you find that this event does not meet the high quality standards you expect from Acumen, we will issue you a letter of credit equal to the value of your fees. The individual delegate or any member of his or her company may use this letter of credit for two years from date of issue. Write us a letter describing why you were dissatisfied and direct it to the General Manager.

Cancellations

Substitutions may be made at any time. If you are unable to attend, please make cancellations in writing and fax to (416) 504-6978 **prior to 5 p.m. on May 21, 2018.**

A credit voucher will be issued to you for the full amount, redeemable against any other Acumen conference. You may request a refund of fees paid less an administration fee of \$250.00.

Registrants who cancel after the above date will not be eligible to receive any credits or refunds and are liable for the entire registration fees.