

# Risk Data Management and Reporting

## Effective Practices Across the Governance Spectrum

June 4 - 5, 2018 • Toronto

### *Course Objectives*

Risk management is a key component of every financial institution's governance framework. To identify, assess and manage risk effectively, risk-data must be collected, processed, aggregated and reported in a secure and well-controlled environment. Additionally, compliance with regulations such as risk-based capital rules, specifically require challenging data quality and modeling standards to be met.

This seminar addresses best practices with respect to steps required to turn source data into reliable information that can be used to enhance risk management and decision-making processes at financial institutions, and to comply with federal regulations and international standards. During this session, we will review Risk Data Management along the spectrum of governance: identification, collection, tracking, modelling, internal/external reporting and impacts on regulatory capital.

### *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 4**

### **Session 1 – Risk Data Management Framework**

- Overarching governance and infrastructure
  - organization models for large, medium and small institutions
  - infrastructure options based on size, nature and geographic location
- International and Canadian regulatory requirements
- Data management tools and processes
  - level of complexity consistent with size of institutions
- Risk data aggregation capabilities
- Risk reporting practices
- Implementation process
  - comprehensive and streamlined processes
- Infrastructure for reporting key information
- Enhancing management information across business units and legal entities
- Facilitating aggregation and comprehensive assessment of risk exposures at the global consolidated level

### **Session 2 – Risk Data Processing and Aggregation**

- System Development Lifecycle
- End User Computer Solutions (EUCS)
- Data security
- Data processing and reconciliation
- Reducing the probability and severity of losses resulting from risk-data management weaknesses
- Understanding how to improve the speed at which information is available and decisions can be made

## **Program – June 5**

### **Session 3 – Model Risk Management**

- Background
- Model use
- Model development, implementation and use
- Model validation and verification
- Governance, Policies and Controls
- Three Lines of Defense
- Roles and responsibilities
- IT and Spreadsheet Controls
- Effective Challenge

## **Session 4 – Risk and Capital Reporting**

- 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

**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**

June 6 - 7, 2018 • Toronto

### 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

Mr./Ms./Mrs. \_\_\_\_\_ Title \_\_\_\_\_ E-mail: \_\_\_\_\_

Mr./Ms./Mrs. \_\_\_\_\_ Title \_\_\_\_\_ E-mail: \_\_\_\_\_

Mr./Ms./Mrs. \_\_\_\_\_ Title \_\_\_\_\_ E-mail: \_\_\_\_\_

Company \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ Province \_\_\_\_\_ Postal Code \_\_\_\_\_

Telephone ( ) \_\_\_\_\_ Extension \_\_\_\_\_ Fax ( ) \_\_\_\_\_

- 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

Charge to my     Visa     Mastercard

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.