

## UNDERSTANDING & LIVING ETHICS in a FAST-PACED WORLD

**OCTOBER 2, 2019**

BMO CONFERENCE CENTER, 3550 PHARMACY AVE., TORONTO, ONTARIO, M1W 3Z3

Attend EITHER the MORNING 2 Sessions \*\*\*\* OR \*\*\*\* the AFTERNOON 2 Sessions  
and receive Certificates for 2 CPEs

**\$99.00 + HST**

Attend ALL DAY (includes Lunch) and receive Certificates for 4 CPEs  
You can use 2 CPEs for 2019 and carry forward 2 CPEs for 2020

**\$175 + HST**

### Agenda

8:15 am	<b>Registration &amp; Continental Breakfast</b> and for ACFE-GTA Chapter Members: The Annual General Meeting (8:15 am – 8:45 am)
9:00 – 10 am	<b>Session 1: The Ethical Entity. Lawrence Ritchie (1 CPE)</b> There is no doubt that the continuing reform of corporate governance seeks to help restore credibility to corporate decision making, and to highlight the importance of integrity, truthfulness, transparency, and accountability in our approaches to leadership, financial disclosure, resource management, and sustainability. The session will speak to this pressing need and how individuals, as well as organizations, can make ethical values the foundation of their processes and focus of their individual contributions.
10:00 am	Networking Break
10:20 – 11:30 am	<b>Session 2: The State of Ethics at the Close of 2019. Mark McManus (1 CPE)</b> This session will be future-focused, outlining the Top Ten Tech Ethical issues that the world is facing today, and using the latest available Ethics & Compliance Initiative (ECI) research as the foundation, will present the state of ethics in the workplace and discuss what the characteristics the research suggests are needed to build companies and organizations where values and ethical conduct matter.
11:30 am	Lunch for participants attending all four sessions
12:45 – 1:45 pm	<b>Session 3: Is Ethics Training Meeting Its Intended Goal? Andrew Kautz (1 CPE)</b> An interactive session, we will look at the history of ethics training and what started the current “ethics training movement”. We will consider what drives an employee to commit fraud and how, if at all, ethics training can have an effect. Finally, we will expand our view beyond “the dishonest employee” and consider the ethics of the employee’s environment and the fraud examiner investigating the case. Case examples will be used.
1:45 pm	Networking Break
2:00 – 3:00 pm	<b>Session 4: Safeguarding those Reporting Potential Breaches. Ula Ubani (1 CPE)</b> In this session, we will consider the potential for retaliation that exists when breaches are reported in the workplace and discuss how we can protect those who report and encourage continued open dialogue
3:00 pm	<b>Adjournment</b>

# ABOUT THE SPEAKERS



## **Lawrence Ritchie, B.A., LL.B., LL.M.**

### **Partner, Litigation, Osler**

Larry Ritchie chairs Osler’s cross-disciplinary Risk Management and Crisis Response national practice and is a key contact for the Securities Regulatory Enforcement and Broker-Dealer Practice. Larry’s practice involves dispute avoidance and resolution across a range of capital markets, the financial sector and other regulated industries and activities. His experience encompasses all aspects of enforcement and other regulatory proceedings and related litigation, including class actions. He advises public corporations, their officers, in-house counsel and directors on avoiding, preparing for, managing and responding to extraordinary “crisis” situations, including regulatory actions and litigation. He also advises on the conduct and response to internal and regulatory investigations. He was Vice-Chair of the Ontario Securities Commission from 2007 – 2014 and in 2015, was appointed by the Government of Ontario to serve on a 3-person expert panel to assess and make recommendations on the mandates, governance and effectiveness of Ontario's major financial regulators.



## **Andrew Kautz, CFE**

### **Manager, Special Investigations, Great West Life Insurance Company**

Andrew H. Kautz, CFE, is the Manager of the Special Investigations Unit for Great-West Life Assurance Company, based in London, Ontario and has more than 30 years of investigative experience. Since 1991, has dealt primarily with employee theft and fraud investigations. His work has taken him across Canada and into the United States investigating frauds ranging from a few hundred dollars to several million, including loan frauds, Ponzi schemes, phony vendor scams and investment dealer frauds. In addition to investigation, Kautz pursues recovery from perpetrators, as well as third parties that may have played a role in the fraud scheme. Andrew is a member of the Faculty of the Association of Certified Fraud Examiners and lectures regularly on fraud related topics to a wide range of groups including fraud investigators, risk management professionals and members of the insurance industry. He has designed policies & procedures related to fraud prevention and was a contributor to ACFE’s *Fraud Casebook: Lessons from the Bad Side of Business*, a selection of fraud case studies.



## **Ula Ubani, MBA**

### **Chief Ethics & Conduct Officer, BMO Bank of Montreal**

Ula Ubani is Chief Ethics & Conduct Officer for BMO. Ula and her team are responsible for maintaining and promoting internal awareness and understanding of positive ethical business principles consistent with BMO’s values. This includes development and implementation of BMO’s Code of Conduct, annual ethics training and other targeted learning. In her previous role as Head of Environmental, Social and Governance (ESG), Ula contributed directly to BMO’s success in the management of sustainability issues and transparency around disclosure which earned the organization a place on prominent sustainability indices. Ula joined BMO in 1997, and has held positions in International Financial Institutions, Risk Management, and Investor Relations. Ula is a volunteer and currently on the board of and is the Chair of The Canadian Centre for Ethics & Corporate Policy ([ethicscentre.ca](http://ethicscentre.ca)). She has an MBA from the Rotman School of Management, University of Toronto.



## **Mark McManus, B. Comm. (Hons.), M.Ed., CFE, CAMS, CTDP**

### **Chief Solutions Officer, GHLC Inc.**

Mark is the Chief Solutions Officer for GHLC Inc., a Toronto-based business advisory that helps organizations and businesses address the complicated issues they face in an increasingly complex and regulated world. Mark has career experience in the financial sector with two of Canada’s banks, with the Ontario Securities Commission, and with CGI, a Canadian global IT firm. Earlier in his career, he gained valuable knowledge, skills, and experience in the non-profit sector with the YM-YWCA, and as an officer in the Canadian Forces Reserve. He is a Certified Fraud Examiner, a Certified Anti-Money Laundering Specialist, and a Certified Training & Development Professional. He earned a Master’s degree in Education (specializing in Workplace Learning and Organizational Change) from the Ontario Institute for Studies in Education at the University of Toronto, and an Honours Bachelor of Commerce degree from Queen’s University at Kingston, Ontario. He is a volunteer board member, and a frequent speaker, including at the ACFE Canadian Fraud Conferences.