



Institute of International Bankers

Agenda

ANNUAL SEMINAR ON
**RISK MANAGEMENT AND
REGULATORY EXAMINATION/COMPLIANCE
ISSUES**

October 16 - 17, 2017

**Harold Proshansky Auditorium | CUNY Graduate Center
365 Fifth Avenue | New York City**



ANNUAL SEMINAR ON RISK MANAGEMENT AND
REGULATORY EXAMINATION/COMPLIANCE ISSUES

October 16-17, 2017

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Institute of International Bankers

PROGRAM

ANNUAL SEMINAR ON RISK MANAGEMENT AND REGULATORY EXAMINATION/COMPLIANCE ISSUES AFFECTING INTERNATIONAL BANKS

Harold Proshansky Auditorium
CUNY Graduate Center/365 Fifth Avenue (between 34th and 35th Streets)

Monday, October 16, 2017

8:30 a.m. to 8:55 a.m.
Continental Breakfast Sponsored by



8:55 a.m. to 9:00 a.m.

Welcome and Introductory Remarks

Sally Miller

Chief Executive Officer
Institute of International Bankers

9:00 a.m. to 10:30 a.m.

Regulatory/Supervisory Policy Initiatives

Mary Aiken

Senior Associate Director
Division of Banking Supervision
and Regulation
Federal Reserve Board

Vance Price

Deputy Comptroller for International Banking
Office of the Comptroller of the Currency

Gary Barnett

Deputy Director
Division of Trading and Markets
Securities and Exchange Commission

Erik Remmler

Deputy Director
Registration and Compliance Branch
Swap Dealer and Intermediary Oversight
Division
Commodity Futures Trading Commission

Daniel Weiss
(moderator)

Principal
PwC

10:30 a.m. to 10:45 a.m.
Coffee Break

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10:45 a.m. to 12:00 noon

Lessons Learned from Recent Enforcement Actions

Derek Bush
(moderator)

Partner
Cleary Gottlieb Steen & Hamilton LLP

Michael Cherkasky

Executive Chairman
Exiger LLC

Susanna Tisa

Chief Business Officer
Treliant Risk Advisors

Ellen Warwick

Senior Counsel
Buckley Sandler

Ellen Zimiles

Managing Director
Navigant

12:00 noon to 1:45 p.m.
Luncheon

Sponsored by:



Keynote Speaker:

Mark W. Olson

Chairman
Treliant Risk Advisors
*Former Chairman, Public Company
Accounting Oversight Board and
Federal Reserve Board Governor*

1:45 p.m. to 3:15 p.m.

Supervisory Developments Regarding BSA/AML and OFAC Compliance

Beverly Jules

Examining Officer
Supervision Group
Federal Reserve Bank of New York

Jamie Boucher

Partner
Skadden, Arps, Slate, Meagher & Flom LLP

Stephanie Brooker

Partner
Gibson, Dunn & Crutcher LLP

Harold Crawford

Managing Director
Alvarez & Marsal

Michael Mancusi
(and moderator)

Partner
Arnold & Porter Kaye Scholer LLP



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3:15 p.m. to 3:30 p.m.
Coffee Break

Sponsored by:

GIBSON DUNN

3:30 p.m. – 4:30 p.m.

Implementing RegTech: Cutting Edge Issues

Walter J. Mix III
(and moderator)

Managing Director
Berkeley Research Group

Angus Grandfield

Americas Head
Financial Crimes Compliance
Corporate and Institutional Bank
Standard Chartered Bank

Shirish Netke

CEO and President
Amberoon

Michael Nonaka

Partner
Covington & Burling LLP

Tuesday, October 17, 2017

8:30 a.m. to 8:55 a.m.
Continental Breakfast Sponsored by:

C L I F F O R D
C H A N C E

9:00 a.m. to 10:15 a.m.

Cybersecurity: DFS Part 500 Compliance and Vendor Risk Management

Doug Landy
(and moderator)

Partner
Milbank, Tweed, Hadley & McCloy LLP

Jeff Taft

Partner
Mayer Brown LLP

Brian Browne

Principal, Cyber Risk
Mazars USA LLP

10:15 a.m. to 10:30 a.m.
Coffee Break

Sponsored by:

Milbank

10:30 a.m. to 12:00 noon

The Perspectives of Prudential Supervisors on Examination Issues

Eric Caban

Assistant Vice President
Federal Reserve Bank of New York

Russell Damitz

Deputy Superintendent of Banks
NYS Department of Financial Services



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Mark Shields Director for International Banking Supervision
Office of the Comptroller of the Currency

Irena Gecas-McCarthy Principal
(*moderator*) Deloitte & Touche LLP

12:00 noon to 1:45 p.m.
Luncheon

Sponsored by:

MAYER ♦ BROWN

Keynote Speaker:

Shirin Emami Executive Deputy Superintendent of Banks
NYS Department of Financial Services

1:45 p.m. to 3:00 p.m.

The Role of Internal Audit in the Compliance Function

Eric Young Chief Compliance Officer
(*and moderator*) BNP Paribas Americas

Carol Beaumier Executive Vice President
Protiviti

Charles Constantin Head of Compliance and Regulatory Risk
Americas
Commonwealth Bank of Australia

Gilles Karpowicz Chief Audit Executive
BNP Paribas Americas

James Wistman Senior Vice President, Risk & Compliance
Abbey National Treasury Services (US) plc

3:00 p.m. to 3:15 p.m.
Coffee Break

Sponsored by:



3:15 p.m. to 4:45 p.m.

Practical Suggestions for Complying with the DFS Transaction Monitoring and Filtering Requirements

Megan Gordon Partner
(*and moderator*) Clifford Chance US LLP

John Caruso Partner, Forensic Services
KPMG

Donna Daniels Executive Director
Fraud Investigation and Dispute Services
Ernst & Young LLP

Connie Friesen Partner
Sidley Austin LLP

4:45 p.m.

Adjournment