

AGENDA



ANNUAL
RISK MANAGEMENT AND
REGULATORY
EXAMINATION/COMPLIANCE
SEMINAR

OCTOBER 7-8, 2019

HAROLD
PROSHANSKY
AUDITORIUM
CUNY GRADUATE
CENTER
365 FIFTH AVENUE
NEW YORK CITY

AGENDA

ANNUAL RISK MANAGEMENT AND REGULATORY
EXAMINATION/COMPLIANCE SEMINAR, OCTOBER 7-8, 2019

MONDAY, OCT. 7

8:30AM-8:55AM

**CONTINENTAL BREAKFAST
SPONSORED BY**



8:55AM-9AM

WELCOME AND INTRODUCTORY REMARKS

BRIGET POLICHENE

CHIEF EXECUTIVE OFFICER
INSTITUTE OF INTERNATIONAL BANKERS

9AM-10:30AM

REGULATORY/SUPERVISORY POLICY INITIATIVES

ASAD KUDIYA

SENIOR COUNSEL
BANKING REGULATION & POLICY GROUP
FEDERAL RESERVE BOARD

VAUGHN FOLKS

DIRECTOR, INTERNATIONAL BANKING SUPERVISION
OFFICE OF THE COMPTROLLER OF THE CURRENCY

JOSH STERLING

DIRECTOR, DIVISION OF SWAP DEALER AND
INTERMEDIARY OVERSIGHT
COMMODITY FUTURES TRADING COMMISSION

MARK WOLFE

ASSOCIATE DIRECTOR, OFFICE OF DERIVATIVES
POLICY AND TRADING PRACTICES
DIVISION OF TRADING AND MARKETS
SECURITIES AND EXCHANGE COMMISSION

IRENA GECAS-MCCARTHY
(moderator)

PRINCIPAL
DELOITTE & TOUCHE LLP

10:30AM-10:45AM

**COFFEE BREAK AND
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The logo for Milbank, featuring the word "Milbank" in a large, red, serif font.

AGENDA

ANNUAL RISK MANAGEMENT AND REGULATORY
EXAMINATION/COMPLIANCE SEMINAR, OCTOBER 7-8, 2019

10:45AM-12 NOON

LESSONS LEARNED FROM RECENT ENFORCEMENT ACTIONS

DEREK BUSH
(Moderator)

PARTNER
CLEARY GOTTlieb STEEN & HAMILTON LLP

THOMAS DELANEY

PARTNER
MAYER BROWN LLP

DOUGLAS LANDY

PARTNER
MILBANK LLP

ADAM KLAUDER

SENIOR DIRECTOR
NAVIGANT

DANIEL STIPANO

PARTNER
BUCKLEY LLP

12 NOON-1:45PM

LUNCHEON
SPONSORED BY

Treliant

KEYNOTE SPEAKER

SHIRIN EMAMI
EXECUTIVE DEPUTY SUPERINTENDENT,
BANKING DIVISION
NYS DEPARTMENT OF FINANCIAL SERVICES

1:45PM-3:15PM

DEVELOPMENTS REGARDING BSA/AML AND OFAC COMPLIANCE

BRADDOCK STEVENSON

DEPUTY ASSOCIATE DIRECTOR, ENFORCEMENT DIV.
FINANCIAL CRIMES ENFORCEMENT NETWORK
DEPARTMENT OF THE TREASURY

LEONARD FRADY

SANCTIONS COMPLIANCE OFFICER
OFFICE OF FOREIGN ASSETS CONTROL
DEPARTMENT OF THE TREASURY

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ANNUAL RISK MANAGEMENT AND REGULATORY
EXAMINATION/COMPLIANCE SEMINAR, OCTOBER 7-8, 2019

STEPHANIE BROOKER

PARTNER
GIBSON, DUNN & CRUTCHER LLP

DAVID DIBARI
(and moderator)

PARTNER
CLIFFORD CHANCE US LLP

MICHAEL MANCUSI

PARTNER
ARNOLD & PORTER LLP

3:15PM-3:30PM

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3:30PM-4:45PM

EMERGING TECHNOLOGIES IN THE COMPLIANCE AND RISK FUNCTIONS

JONATHAN BALL
(and moderator)

MANAGING DIRECTOR, GLOBAL HEAD OF ANALYTICS
EXIGER LLC

FRANK MORISANO

CHIEF RISK OFFICER, U.S. REGION
INDUSTRIAL & COMMERCIAL BANK OF CHINA

ALAN WILLIAMSON

DIRECTOR, FINANCIAL CRIME COMPLIANCE ADVISORY
BARCLAYS AMERICAS

BILL COLLETTE

DIRECTOR OF PRODUCT MANAGEMENT - FINANCE,
RISK & REPORTING, AMERICAS
WOLTERS KLUWER

WALTER J.MIX, III

MANAGING DIRECTOR
BERKELEY RESEARCH GROUP

AGENDA

ANNUAL RISK MANAGEMENT AND REGULATORY
EXAMINATION/COMPLIANCE SEMINAR, OCTOBER 7-8, 2019

TUESDAY, OCT. 8

8:30AM-8:55AM

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

9:00AM-10:15AM

MANAGING THE CHALLENGES OF CULTURE AND CONDUCT RISK

NANCY JONES
(and moderator)

CHIEF CULTURE & CONDUCT OFFICER
SOCIETE GENERALE AMERICAS

TONY DUNNE

U.S. COUNTRY MANAGER
BANK OF IRELAND

ADAM GILBERT

PARTNER
PWC

DEEPA KESWANI

DIRECTOR, COMPLIANCE ADVISORY
THE MIZEN GROUP

10:15AM-10:30AM

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10:30AM-12 NOON

THE PERSPECTIVES OF PRUDENTIAL AND MARKET SUPERVISORS ON EXAMINATION ISSUES

ERIC CABAN

VICE PRESIDENT
FEDERAL RESERVE BANK OF NEW YORK

MARK SHIELDS

DIRECTOR, INTERNATIONAL BANKING SUPERVISION
OFFICE OF THE COMPTROLLER OF THE CURRENCY

MICHAEL CASPARIAN

DEPUTY SUPERINTENDENT, FOREIGN AND
WHOLESALE BANKS
NYS DEPARTMENT OF FINANCIAL SERVICES

ROSEMARIE FANELLI

SENIOR DIRECTOR
RISK OVERSIGHT & OPERATIONAL REGULATION
FINANCIAL INDUSTRY REGULATORY AUTHORITY

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ANNUAL RISK MANAGEMENT AND REGULATORY
EXAMINATION/COMPLIANCE SEMINAR, OCTOBER 7-8, 2019

REGINA THOELE

SENIOR VICE PRESIDENT, COMPLIANCE
NATIONAL FUTURES ASSOCIATION

DONNA DANIELS
(moderator)

MANAGING DIRECTOR
ERNST & YOUNG LLP

12 NOON-1:45PM

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GIBSON DUNN

KEYNOTE SPEAKER

VANCE PRICE
DEPUTY CONTROLLER FOR INTERNATIONAL BANKING
OFFICE OF THE COMPTROLLER OF THE CURRENCY

1:45PM-2:45PM

MANAGING THIRD-PARTY/VENDOR RISK

**SABINE BARBIER-
GOLDMAN**

GLOBAL HEAD OF SUPPLIER RISK & CONTROL
CREDIT SUISSE

SUSAN TUCCILLO

SENIOR VICE PRESIDENT, HEAD OF COMPLIANCE
NORDEA BANK

JULIE WILLIAMS

MANAGING DIRECTOR
PROMONTORY FINANCIAL GROUP, AN IBM COMPANY

JOHN CARUSO
(Moderator)

PRINCIPAL
KPMG LLP

2:45PM-3:00PM

**COFFEE BREAK AND
NETWORKING**

AGENDA

ANNUAL RISK MANAGEMENT AND REGULATORY
EXAMINATION/COMPLIANCE SEMINAR, OCTOBER 7-8, 2019

3:00PM-4:00PM

THE CHALLENGES OF ALIGNING U.S. BRANCH AND HOME OFFICE COMPLIANCE PROGRAMS TO MEET U.S. REGULATORY EXPECTATIONS

ROSS MARRAZZO
(and moderator)

MANAGING PARTNER
TRELIANT, LLC

BEVERLY JULES

EXAMINING OFFICER
FEDERAL RESERVE BANK OF NEW YORK

CARLOS AYALA

MANAGING DIRECTOR
HEAD OF FINANCIAL CRIMES COMPLIANCE
AUDIT, AMERICAS
SUMITOMO MITSUI BANKING CORP.

RICHARD WEBER

MANAGING DIRECTOR
HEAD OF FINANCIAL CRIMES – AMERICAS
UBS

4:00PM

ADJOURNMENT

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