



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 7, 2019

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

Sponsored by:  **Wolters Kluwer**

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

Welcome and Introductory Remarks

Briget Polichene Chief Executive Officer
Institute of International Bankers

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

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 Principal
(*moderator*) Deloitte & Touche LLP

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

Sponsored by: **Milbank**



INSTITUTE OF INTERNATIONAL BANKERS

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

Lessons Learned from Recent Enforcement Actions

Derek Bush <i>(moderator)</i>	Partner Cleary Gottlieb Steen & Hamilton LLP
Thomas Delaney	Partner Mayer Brown LLP
Douglas Landy	Partner Millbank LLP
Salvatore LaScala	Managing Director Navigant
Daniel Stipano	Partner Buckley LLP

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

Sponsored by:

Treliant

Keynote Speaker:

Shirin Emami
Executive Deputy Superintendent
Banking Division
NYS Department of Financial Services

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

Developments Regarding BSA/AML and OFAC Compliance

Braddock Stevenson	Deputy Associate Director Enforcement Division Financial Crimes Enforcement Network Department of the Treasury
Leonard Frady	Sanctions Compliance Officer Office of Foreign Assets Control Department of the Treasury
Stephanie Brooker	Partner Gibson, Dunn & Crutcher LLP
David DiBari <i>(and moderator)</i>	Partner Clifford Chance US LLP
Michael Mancusi	Partner Arnold & Porter LLP



INSTITUTE OF INTERNATIONAL BANKERS

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

Coffee Break

Sponsored by:



3:30 p.m. – 4:45 p.m.

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
Industrial & Commercial Bank of China
U.S. Region

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

Tuesday, October 8, 2019

8:30 a.m. to 8:55 a.m.

Continental Breakfast

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

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

Deepa Keswani

Director, Compliance Advisory
The Mizen Group

Rehana Anait

Partner
PwC



INSTITUTE OF INTERNATIONAL BANKERS

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

Coffee Break

10:30 a.m. to 12:00 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

Regina Thoele

Senior Vice President, Compliance
National Futures Association

Donna Daniels
(moderator)

Managing Director
Ernst & Young LLP

A representative of FINRA has also been invited

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

Luncheon

Sponsored by:

GIBSON DUNN

Keynote Speaker:

Vance Price

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

1:45 p.m. to 2:45 p.m.

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



INSTITUTE OF INTERNATIONAL BANKERS

2:45 p.m. to 3:00 p.m.

Coffee Break

3:00 p.m. to 4:00 p.m.

The Challenges of Aligning U.S. Branch and Home Office Compliance Programs to Meet U.S. Regulatory Expectations

Ross Marrazzo
(and moderator)

Managing Partner
Trelia

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

Jaime Boucher

Partner
Skadden, Arps, Slate, Meagher & Flom LLP

4:00 p.m.

Adjournment

Additional Sponsors:

