



## INSTITUTE OF INTERNATIONAL BANKERS

### INTERNAL AUDIT SEMINAR ON FINANCIAL CRIME COMPLIANCE

Thursday, June 7, 2018  
Offices of Morrison & Foerster LLP  
250 West 55<sup>th</sup> Street

**8:30 a.m. – 8:55 a.m.**  
Continental Breakfast

**9:00 a.m. – 10:30 a.m.**

**Regulatory Expectations for the Bank Audit Function as it Relates to BSA/AML/OFAC Compliance**

*Panelists will discuss the following common issues/findings from regulators: audit report and finding ratings; auditor skillsets and resourcing (qualifications, training, skills assessment and specialist support); tone from the top/culture and driving accountability; effective remediation plans; and internal audit reporting/transparency with senior management and the Board. Panelists will also discuss these issues/findings in the context of how to meet increasing regulatory expectations and evolving best practices.*

**David Kobbe**

Senior Operational Risk and IT Examiner  
Federal Reserve Bank of New York

**David Hick**

Managing Director  
Head of Audit, Europe & Americas  
Group Internal Audit  
Standard Chartered Bank

**Barbara Mendelson**

Partner  
Morrison & Foerster LLP

**Samar Pratt**  
(and moderator)

Managing Director  
Exiger Limited

**10:30 a.m. – 10:45 a.m.**  
Coffee Break



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**10:45 a.m. – 12:15 p.m.**

### **Risk-Based Audit Process and Data Analytics**

*Panelists will discuss what “risk-based approach” really means, and what tough decisions are being made as part of the audit planning process – deep-dive reviews versus end-to-end cursory reviews. Apart from areas that require reviews, panelists will also discuss other considerations that should be made during the planning process, for example, how much time should be devoted to ad-hoc reviews, regulatory exams, etc. Finally, panelists will discuss the use of data analytics to find crystalized risk and broken controls.*

**Lukas Babiak**

Bank Examiner, BSA/AML Team Leader  
Office of the Comptroller of the Currency

**Gilles Karpowicz**

General Auditor  
BNP Paribas USA, Inc. and  
North America Wholesale

**Jonathan Ball**  
*(and moderator)*

Managing Director  
Exiger LLC

**12:15 p.m.**

**Adjournment**