



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:



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
(moderator)

Principal
Deloitte & Touche LLP

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

Thomas Delaney

Partner

Mayer Brown LLP

Douglas Landy

Partner

Millbank LLP

Adam Klauder

Senior Director

Navigant

Daniel Stipano

Partner

Buckley LLP

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

Luncheon

Sponsored by:

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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

(and moderator)

Partner

Clifford Chance US LLP

Michael Mancusi

Partner

Arnold & Porter LLP



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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



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

Coffee Break

Sponsored by:



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

Rosemarie Fanelli

Senior Director
Risk Oversight & Operational Regulation
Financial Industry Regulatory Authority

Regina Thoele

Senior Vice President, Compliance
National Futures Association

Donna Daniels
(moderator)

Managing Director
Ernst & Young LLP

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

Luncheon

Sponsored by:



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



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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

2:45 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
Treliaant

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

4:00 p.m.

Adjournment

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