



PROGRAM

*U.S. Regulatory /Compliance Orientation for
Head Office, Recently Arrived Officers of
International Banks and Representatives who would
Benefit from a More Thorough Understanding of
The U.S. Regulatory/Compliance System*

**Monday, December 9, 2019
Offices of Shearman & Sterling LLP
599 Lexington Avenue | New York City**

8:30 a.m. – 8:55 a.m.	Continental Breakfast	
8:55 a.m.	Introduction of the Program/Opening Remarks	
	Briget Polichene	Chief Executive Officer Institute of International Bankers
9:00 a.m. – 10:15 a.m.	U.S. Banking System and Foreign Banking Organization (FBO) Supervisory Structure	
	<ul style="list-style-type: none"> • The Dual Banking System • State and Federal Coordination • Role of State and Federal Agencies • Structure of the Federal Reserve System 	
	Kwayne Jennings	Manager, Large and Foreign Banking Organizations Section Federal Reserve Board
	Vaughn Folks	Director International Banking Supervision Office of the Comptroller of the Currency
	Michael Casparian	Deputy Superintendent for Banking NYS Department of Financial Services
	Alex Latorre <i>(and moderator)</i>	Principal Ernst & Young LLP
10:15 a.m. – 10:30 a.m.	Coffee Break	
10:30 a.m. – 11:30 a.m.	U.S. Banking Law and the FBO – What You Need to Know	
	<ul style="list-style-type: none"> • The Basic Banking Statutory Framework in the United States • Treatment of Branches and Agencies • Distinction Between “Banking” and “Nonbanking” Activities • The Central Role of the Compliance Function 	
	Derek Bush <i>(and moderator)</i>	Partner Cleary Gottlieb Steen & Hamilton LLP
	Douglas Landy	Partner Milbank

Lisa Ledbetter

Partner
Jones Day

Barbara Mendelson

Partner
Morrison & Foerster LLP

11:30 a.m. – 12:30 p.m.

What to Expect from an Examination and How to Prepare

- **What to Expect in a “First-Day Letter”**
- **What to Expect from an On-Site Examination**
- **Key Factors in Adequate Preparation**
- **SOSA, ROCA and RFI**

William F. Hilton III

Supervisory Manager
Regional, Community, Consumer
And Foreign Institutions Supervisory Group
Federal Reserve Bank of New York

Gregory Lyons

Partner
Debevoise & Plimpton LLP

Catherine Stahlmann
(and moderator)

Principal
PwC

12:30 p.m. – 1:30 p.m.

Buffet Luncheon

1:30 p.m. – 2:30 p.m.

U.S. Labor Laws – What You Need to Know to Avoid Problems

James R. Hays

Partner
Sheppard Mullin Richter & Hampton LLP

2:30 p.m. – 3:45 p.m.

Anti-Money Laundering/OFAC Compliance

David DiBari
(and moderator)

Partner
Clifford Chance US LLP

Alan Avery

Partner
Latham & Watkins LLP

Laurence Birnbaum-Sarcy

Principal
KPMG LLP

Thomas Bock

Executive Managing Director
K2 Intelligence

Janice Durisin

Managing Director
Deloitte

3:45 p.m. - 4:45 p.m.

**Key Dodd-Frank Act Compliance Issues for International Banks,
Including Recent FBO Tailoring Rule and Volcker Rule Revisions**

- **Volcker Rule**
- **Section 165 Enhanced Prudential Standards**
- **OTC Derivatives**
- **Governance**

Stephanie Webster
(and moderator)

General Counsel
Institute of International Bankers

David Lucking

Partner
Allen & Overy LLP

Reena Sahni

Partner
Shearman and Sterling LLP

Joseph Lynyak

Partner
Dorsey & Whitney LLP

4:45 p.m.

Cocktail Reception