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Financial Risk Management News and Analysis

OpRisk
NorthAmerica

Workshop Days: June 17th and 20th
Congress Days: June 18th and 19th
Marriott Marquis, New York

Risk.net's award-winning OpRisk North America will return for its 21st year! This must-attend industry conference gathers 500+ senior level risk, operational risk, cyber security and technology specialists leading financial institutions, buy-side firms, solution providers and regulators around the globe.

Meet the OpRisk North America Advisory Board. These industry professionals have volunteered their time and effort to help develop our OpRisk North America conference. Their dedication is critical to the success of the event and ensuring high-level quality content is provided to attendees. Our esteemed advisors are:

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Fiona Li-Weisser, Financial Services Risk Management, Ernst & Young, LLP

Steve Marlin, Editor, Risk.net

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Tom Osborn, Risk Management Editor, Risk.net

SPEAKERS CONTRIBUTING TO THE DISCUSSION INCLUDE:

Raj Manian, Chief Risk Officer, MUFG Trust

Beth Dugan, Deputy Comptroller for Operational Risk at the Office of the Comptroller of the Currency

Frank Marisano, Chief Risk Officer, ICBC Michael Curry, Vice President, Watson Financial Services

Arthur Lindo, Deputy Director, Board of Governors of the Federal Reserve System

Don Fort, Chief, IRS Criminal Investigation, Internal Revenue Service

David Kimm, former Chief Risk Officer and Treasurer, TD Ameritrade

Graeme Farrell, Managing Director - Chief Operational Risk Officer, AQR

Michael Abriatis, Chief Operational Risk Officer, PNC

Bala Ayyar, Managing Director, Chief Data Officer - Americas, Société Générale

Joseph Iraci, Head of Financial Risk Management, TD Ameritrade and Chief Risk Officer, TD Ameritrade Futures and FX

Jimmy Yang, Managing Director, Credit and Operational Risk Analytics, BMO Financial Group

Jay Newberry, former Managing Director, Operational Risk Management, CITI

Etsuko Jennings, Managing Director, Morgan Stanley

Jean-François (JF) Bureau, Senior Vice President and Chief Risk Officer, PSP Investments

Paul Tuller, Head of Commercial Operational Risk Management, JP MORGAN CHASE

Penny Cagan, Managing Director, MUFG

Nedim Baruh, Managing Director - Head of Operational Risk Measurement and Analytics, JPMorgan Chase

Daniel Navarino, Expert Advisor for Third Party Risk, Finance, Strategy, and Controls, former Global Process Owner, Third Party Risk, Citi

Michael Colasso, Head of Enterprise Operational Risk, SunTrust

Emil Matsakh, former Chief Analytics Officer, Commonwealth Bank of Australia Professor

Ina Wanca, New York University

Gordon G Liu, Executive Vice President, US Head of Global Risk Analytics, HSBC

Hakan Danis, Macroeconomic Scenarios, Director, MUFG Union Bank Deborah Hrvatin, Managing Director, Citi

Dolores (Lori) Miller, Managing Director, AIG Angel Lorente, Americas Finance Innovation Leader, Morgan Stanley

Ken Abbott, former Managing Director, IHC CRO, Barclays

Manan N. Rawal, EVP - US Head of Model Risk Management, HSBC

Jason Conn, Director, Head of Electronic Trading Operational Risk Management, Citi

Kathleen M Stack, Head of Operational Risk Operations and Assurance, US, Global Operational Risk | HSBC North America

Bonnie Frank, Vice President, Enterprise Risk and Crisis Management, PSP Investments

Michael Barry, Executive Director - Head of Operational Risk and Information Security, Natixis

Damian Matich, Global Fraud Analytics Manager, NICE Actimize

Kevin D. Mahn, President and Chief Investment Officer, Hennion & Walsh Asset Management

Aymeric Kalife, Head of Inforce & Product Management, Group Risk Management, AXA

Heather Gentile, Head of Regulatory Offerings, IBM Watson Financial Services

Andrew Yuille, Strategic Alliances Lead, Thomson Reuters Corporates Segment

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Conference Day 1: June 18th

7.30 Breakfast briefing

Taking a Risk-based Approach to Compliance Management

What are the key elements of a GRC framework needed to keep pace with regulatory change and conduct a rigorous assessment of compliance risk? Is your firm setting standards for meeting regulatory compliance and establishing the key foundational elements such as risk metrics, a compliance risk taxonomy, and regulatory-obligation inventory? Compliance, legal and risk professionals are looking for an end-to-end framework to manage compliance requirements in a way that improves overall governance, risk and compliance (GRC) program effectiveness.

Join IBM for an informal gathering of senior risk and compliance executives to explore challenges and solutions for end-to-end management of regulatory obligations and associated controls across the full range of business lines, products, entities, and geographies.

Speakers:

Heather Gentile, Head of Regulatory Offerings, IBM Watson Financial Services

Andrew Yuille, Strategic Alliances Lead, Thomson Reuters Corporates Segment

Dave Shah, Vice President, Morgan Stanley

8.00 Registration

9.00 Chair's Opening Remarks and Live Audience Poll

Marcelo Cruz, Editor in Chief, The Journal of Operational Risk

9.10 Editor's Welcome

Alexander Campbell, Divisional Content Editor, Risk.net



9.20 Opening Keynote: Operational Risk – Evolution or Revolution?

Beth Dugan, Deputy Comptroller for Operational Risk at the Office of the Comptroller of the Currency

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9.40 The Future of Operational Risk and Resiliency

Arthur Lindo, Deputy Director, Board of Governors of the Federal Reserve System



10.00 Keynote Panel: Operational Resilience: Moving Beyond Risk-Resilience Silos

- What does robust crisis management look like and how are firms developing frameworks?
- How can organizations meet specific resilience requirements?
- Developing robust practices and synergies

Moderator: *Marcelo Cruz, Editor and Chief, The Journal of Operational Risk*

Panellists include:

Jean-François (JF) Bureau, Senior Vice President and Chief Risk Officer, PSP Investments

David Kimm, former Chief Risk Officer and Treasurer, TD Ameritrade

Evan Sekeris, Partner - Financial Services, Finance & Risk and Digital, Oliver Wyman

Brendan Goode, Managing Director | Global Head of Cyber Risk, Citi



10.30 Keynote Panel: The Top 10 Operational Risk Challenges for 2019 and What's Next

- What has changed over the years?
- How have different firms incorporated the results of this industry wide survey?
- How are firms overcoming these challenges
- How are firms dealing with emerging technology, third and fourth parties?
- What might the future hold?

Moderator: *Tom Osborn, Risk Management Editor, Risk.net*

Panellists include:

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Michael Abriatis, Chief Operational Risk Officer, PNC
Nitish Idnani, Principal, Risk and Financial Advisory, Deloitte
Ivan Pooran, Head of Operational Risk, Guardian Life
Deborah Hrvatin, Managing Director, Citi


11.00 Coffee Break and Speed Networking

Stream A: New Concepts in ORM
Chaired by:
Ed Kim, Founder, OpRisk Advisory, LLC former Head of Operational Risk at RBC and Standard Chartered

Stream B: Building ORM
Chaired by:
Andrew Richardson
Risk Management Executive, Principal at Simplified Risk Management former Director Risk Management, Meridian Credit Union


Stream C: AI, ML and Analytics
Chaired by:
Professor Ina Wanca, New York University, Vice President Innovation, Mastercard

Cyber Risk and InfoSec Summit
Chaired by:
Mark Feeley
Research Director
Chartis Research

 **11.40 Panel: Scenario modelling, unshackled**

- Update on the ABA pilot project on scenario modelling
- What are some of the risk factors that explain key operational risks?
- Best practices for building scenario models
- What does the end of the AMA mean for scenario modelling?

Moderator:

 **11.40 Opening Panel: Maximizing the Benefits of an off-the-shelf OpRisk Framework**

- If you had no pre-existing OpRisk framework, what would you establish first?
- Analysis of the different frameworks being practiced and the potential benefits for your organization
- Taxonomies that should be implemented in order to make the most out of your framework

 **11.40 Opening Keynote: How Big Data Can Help Operational Risk**
Emil Matsakh, Chief Analytics Officer, Commonwealth Bank of Australia





 **11.40 Opening Keynote**
Byron Collie, Technology Fellow and Head of 2nd Line Cybersecurity Risk in Operational Risk, Goldman Sachs
12.00 Unleashing the Potential for Behavioural Biometrics to Mitigate Against Cyber Threats
Gus Koutsoumbelas, Director Americas Model Risk Management MUFG Union Bank, N.A.

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<p><i>Kris Devasabai, Editor-in-chief, Risk.net</i></p> <p>Panellists include:</p> <p><i>Nedim Baruh, Managing Director - Head of Operational Risk Measurement and Analytics, JPMorgan Chase</i></p> <p><i>Jane Yao, Senior Vice President, Benchmarking & Survey Group, American Bankers Association</i></p> <p><i>Evan Sekeris, Partner - Financial Services, Finance & Risk and Digital, Oliver Wyman</i></p>	<ul style="list-style-type: none"> • What are the key risks you would establish for this framework? <p><i>Jay Newberry, Managing Director, Operational Risk Management, CITI</i></p> <p>Panellists include:</p> <p><i>Penny Cagan, Managing Director, MUFG</i></p> <p><i>Jedediah Turner, Managing Director, TIAA</i></p> <p><i>Rajesh Puthanmodom, Director, Senior Vice President, ERM Operational and IT Risk Management, NYCB</i></p>		
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<p> 12.20 Panel: CCAR Results Analysis: Were the Quants Right?</p> <ul style="list-style-type: none"> • Early results of the SMA versus new developments in operational risk measurement • Capital calculation for operational risk and meeting regulatory requirements: what your organization needs to be considering • When will this take hold? • When will it be implemented? <p>Moderator: <i>Luke Carrivick, Head of Analytics and Research, ORX Association</i></p> <p>Panellists include: <i>Nedim Baruh, Managing Director - Head of Operational Risk Measurement and Analytics, JPMorgan Chase</i> <i>Meet Shah, Deputy Head, CCAR Operational Risk, UBS</i></p>	<p> 12.20 Presentation: Stress Scenario Design and Operational Risk Events</p> <p><i>Hakan Danış, Macroeconomic Scenarios, Director, MUFG Union Bank</i></p>	<p> 12.00 Panel: Bad Robot – Ethics and Conduct Risk in Algorithmic Trading</p> <ul style="list-style-type: none"> • How do you manage conduct risk when more and more functions within financial organisations are automated? • How do you identify and respond to models that exhibit biases or unethical tendencies? • How do you police adaptive AI systems that evolve over time? <p>Moderator: <i>Emil Matsakh, former Chief Analytics Officer, Commonwealth Bank of Australia</i></p> <p>Panellists include: <i>Jason Conn, Director, Head of Electronic Trading Operational Risk Management, Citi</i> <i>Colin Telmer, Global Head of Front Office Markets Surveillance, Barclays International</i></p>	<p> 12.20 Opening Panel: Cyber Security in the Era of Technical Innovation</p> <ul style="list-style-type: none"> • Digital transformation as a conduit for risk • Developing risk appetite limits for security risk • Identifying risk for information assets • Mitigating risk in a super connected landscape: how are innovations such as AI IoT going to impact cyber risk? <p>Moderator: <i>Andrew Jaquith, Independent Representation, former Global Cyber Security Operational Risk Officer, JP Morgan Chase.</i></p> <p>Panellists include: <i>John Terrill, former CISO of Fox News</i> <i>Jennifer Bayuk, former CISO at Bear Stearns</i></p>
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<p> 13.00 Fireside Chat: Challenges of Implementing a GRC Platform Against a Backdrop of Some Interesting Use Cases Moderator: <i>Bala Ayyar, Managing Director, Chief Data Officer - Americas, Société Générale</i> Interviewee: <i>Anne-Sophie Gug Christ, Program lead – GRC, Société Générale</i></p>	<p> 12.40 TPRM: Operationalizing Fourth-party Risk Management</p> <ul style="list-style-type: none"> • Regulatory focus on robust identification, monitoring and management of fourth-party risk • Risk attributes for defining material subcontractors • Fourth-party risk management across the TPRM lifecycle • What to tackle first when getting started with fourth-party risk management <p><i>Greg Matthews, Partner, KPMG</i></p>	<p> 12.40 Fireside Chat: How is Data Analytics, AI and Machine Learning Driving the Evolution of Surveillance?</p> <ul style="list-style-type: none"> • Using data to detect anomalies • Innovations to the surveillance space • How are banks implementing innovation to help mitigate against risk? • What are the challenges with AI and ML for surveillance? <p>Moderator: <i>Dimitris Bartzilias, Head of Operational Risk Capital, Credit Suisse</i></p> <p>Panellists include: <i>Rajeev Dave, M.S., M.B.A. Americas Head of Surveillance Barclays</i> <i>Daniel A. Fernández, Product Leader in RegTech, Nice Actimize</i></p>	<p> 1.00 Vendor Risk Management: Overcoming Today's Most Common Security & Privacy Challenges <i>Chase Hinson, CIPP/E, Privacy Consultant, OneTrust</i></p>
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		<i>Gautam Sachdev, Managing Director, Risk Management, Macquarie Group</i>	
1.20 Lunch			1.20 Lunch
 <p>2.00 Risk Identification Panel: Overcoming Myopia to Offer a Granular View</p> <ul style="list-style-type: none"> • Pinpointing what makes risk identification such a challenge and why • How do you incorporate RCSAs? • Defining crucial processes in relation to risk identification • How do you overcome the myopia of a granular view? <p>Moderator:</p>	 <p>2.00 Presentation: Right-Sizing Operational Risk: Should organizations of all sizes manage op risk the same way? <i>Joshua Kotok, Chief Risk & Compliance Officer, FIRST SAVING</i></p>  <p>2.20 Taxonomy for Operational Risk</p> <ul style="list-style-type: none"> • Developments in risk taxonomies where is the industry going? 	 <p>2.00 Presentation: Data Driven Operational Risk <i>Dimitris Bartzilas, Head of Operational Risk Capital, Credit Suisse</i></p>  <p>2.20 Presentation: Emerging Technology Risk: AI/ML Risks <i>Yogesh Mudgal, Director, Emerging Technology Risk, Citi</i></p>	 <p>2.00 Building Cyber Resilience <i>Yonesy Nunez, Senior Vice President, Information Security, Wells Fargo</i></p>  <p>2.20 Data Ethics in AI/ML <i>John A. Bottega, Executive Director, EDM Council</i></p> <p>2.40 End of stream</p>



<p><i>Ken Abbott, former, Managing Director, IHC CRO at Barclays, Professor, Baruch College</i></p> <p>Panellists include: <i>Etsuko Jennings, Managing Director, Morgan Stanley</i> <i>Michael Barton, Senior Director, ERM at UnitedHealth Group</i></p> <p> 2.40 Panel: Credible Challenge and the Second Line Moderator: <i>Deborah Hrvatin, Managing Director, Citi</i> Panellists: <i>Dolores (Lori) Miller, Managing Director, AIG</i> <i>Dominique Benz, Director, Operational Risk, Mizuho</i> <i>Janine Jakubauskas Regulatory Affairs / Stress Testing Signature Bank</i></p> <p>3.20 End of stream</p>	<ul style="list-style-type: none"> • Moving away from event types • Creation of a reference • Future plans • Where does this leave Basel? <p><i>Luke Carrivick, Head of Analytics and Research, ORX Association</i></p> <p> 2.40 Panel: 3rd Party Risk and Re-Designing the Pre-Existing Risk Processes to Meet Regulatory Expectations <ul style="list-style-type: none"> • How have regulatory expectations increased? • Sourcing third parties in the evolving tech and AI landscape • Understanding how to manage inter-affiliates Moderator: <i>Andrew Richardson Risk Management Executive, Principal, Simplified Risk Management former Director Risk Management, Meridian Credit Union</i> Panellists include: <i>Daniel Navarino, Expert Advisor for</i></p>	<p> Innovation Tech Theatre</p> <p>2.40 How AI can help streamline OpRisk and Compliance"</p> <p><i>Nelson Pinochet, Technical Solutions Leader, IBM OpenPages with Watson</i></p> <p>3.00 MetricStream Live Demo</p> <p>3.20 Nice Actimize Demo</p> <p>3.40 End of demos</p>	
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	<p><i>Third Party Risk, Finance, Strategy, and Controls, former Global Process Owner, Third Party Risk, Citi</i></p> <p><i>Michael Giarusso, Financial Services Office (FSO) Advisory Services Partner, EY</i></p> <p><i>Yonesy Nunez, Senior Vice President, Information Security, Wells Fargo</i></p> <p>3.20 End of stream</p>		
3.20 Break			



3.20 Afternoon break and Knowledge Cafes

Grab a coffee and join a table of your choice in the exhibition area to share ideas, questions, and developments all while you network with your fellow industry specialists.

Keep up to speed with crucial industry developments by joining one of our Knowledge Cafes led by our leading specialists:

Effectively Managing 3rd party vendor risk

Mark Fogarty, Director, KPMG

Keeping up-to-speed with Evolving Regulation

Janine Jakubauskas, Regulatory Affairs / Stress Testing, Signature Bank

Unleashing the Potential for Data, AI and Machine Learning

Damian Match, Global Fraud Analytics Manager, NICE ACTIMIZE



3.45 Afternoon Keynote: Keeping up with the Evolving Regulatory Environment

Bala Ayyar, Managing Director, Chief Data Officer - Americas, Société Générale



4.15 Fireside Chat: Identifying and Anticipating Geo Political Risks and Balancing Market Exposure

- Uncertainty around regulation and political atmosphere across the globe: how can your organization prepare in an era of flux and constant change?



- How can your company successfully govern the business during political gridlock?
- During a time of upheaval, identify how your organization can prioritize and evolve the OpRisk program

Moderator:

Ken Abbott, former, Managing Director, IHC CRO at Barclays, Professor, Baruch College

Panellists include:

Manan N. Rawal, EVP - US Head of Model Risk Management, HSBC

Raj Manian, Chief Risk Officer, MUFG Trust



4.45 Champagne Roundtables:

a) Diversity in Risk

Charlotte Nicholson, Director, KPMG and Katherine Crane, Director, KPMG

b) Risk Convergence: Best Practices

Joy A St. John, Director, Advisory, Operations & Compliance Risk, KPMG LLP

c) Operational Risk for Asset Managers

Isabel Rohrbeck, Head of Operational Risk – Americas, Group Risk, Schroders

d) Cyber Simulations

Nikki Covino, Regional Head of Business Continuity Americas, CREDIT SUISSE

e) AI, ML and the Innovation Bandwagon

Gordon G Liu, Executive Vice President, US Head of Global Risk Analytics, HSBC

5.30 Summary of Conference Day 1

Marcelo Cruz, Editor and Chief, The Journal of Operational Risk

6.00 Drinks Reception

7.00 Operational Risk Awards * additional cost applies, this is not included in the price of the delegate pass

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Conference Day 2: June 19th

7.30 BREAKFAST BRIEFING: Practical application of advanced analytics: Case studies

- Generic analytics vs. financial crime analytics – why expertise matters
- The power of collective intelligence
- Timing matters – it's useless if you can't deploy in short order
- 3 use cases demonstrations
- Having choice in analytics: helping you where you are on the maturity spectrum
- Operationalising analytics for practical use
- The impact of regulators

Damian Matich, Global Fraud Analytics Manager, NICE ACTIMIZE

Christopher Smith, Americas Head of Trade Surveillance, Barclays

8.30 Registration

8.50 Chair's Opening Remarks

Marcelo Cruz, Editor and Chief, The Journal of Operational Risk



9.00 Financial Crime in the 21st Century

- The evolution of financial crime and future challenges
- How to shape your organization to deal with those challenges
- The use of data to overcome resource issues
- CI's focus on cyber-crime, virtual currency and international partnerships

Don Fort, Chief, IRS Criminal Investigation, Internal Revenue Service



9.20 Risk Management in the New Digital Paradigm

Philippa Girling, Chief Risk Officer, Varo



9.40 : Enabling holistic surveillance as a toolkit to improve conduct risk management and instil conduct & ethic programs into firm culture

- Building the foundation of Holistic Surveillance to better inform conduct risk management

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- Utilising new technologies including data science, big data, & machine learning to highlight anomalous behaviors as an early warning system
- Using the results to strengthen the control environment

Ian Blair, Managing Director, Global Co-Head of Surveillance, Credit Suisse



10.00 Today's CRO – Leveraging Data to Make Risk-Aware Decisions

Moderator:

Michael Curry, Vice President, Watson Financial Services

Panellists include:

Flora Sah, Chief Risk Officer for Global Risk Management, Bank of America

Frank Morisano, Chief Risk Officer, ICBC

Raj Manian, Chief Risk Officer, MUFG Trust



10.30 Panel: Unleashing the Potential for AI in Operational Risk

- Making tech tangible: Visualizing the use robotics and AI in operational risk arena
- How is AI helping banks better identify risk?
- Automating reconciliation: benefits versus challenges

Moderator:

Steve Marlin, Editor, Risk.net

Panellists include:

Luke Carrivick, Head of Analytics and Research, ORX Association

Professor Ina Wanca, New York University

Gordon G Liu, Executive Vice President, US Head of Global Risk Analytics, HSBC

Jimmy Yang, Managing Director, Credit and Operational Risk Analytics, BMO Financial Group

11.00 Morning Break and Knowledge Cafes

Grab a coffee and join a table of your choice in the exhibition area to share ideas and network with your industry peers!

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Managing Risk Culture

Johannes Tekle, Principal, J Tekle Risk Consulting, former Director, Risk Management Methodology, Bank of Montreal

KRIs and RCSAs

Michael Scarpa, Director, KPMG

Stream A: Conduct and Culture

Chaired by:

Joseph Iraci, Head of Financial Risk Management, TD Ameritrade and CRO TD Ameritrade Futures and FX

Stream B: New Concepts in ORM

Chair:

Ed Kim, Founder, OpRisk Advisory, LLC former Head of Operational Risk at RBC and Standard Chartered

Stream C: Building OpRisk

Chaired by:

**Andrew Richardson
Risk Management Executive, Principal at Simplified Risk Management former Director Risk Management, Meridian Credit Union**

Cyber Risk and InfoSec Summit

Chaired by:

**Mark Feeley
Research Director
Chartis Research**



**11.40 Culture and Conduct –
The Concept of Emerging Risk and the
Impact on the Market**

*Joseph Iraci, Head of Financial Risk
Management, TD Ameritrade and
CRO TD Ameritrade Futures and FX*



**12.10 Trade Based Money
Laundering – Regulatory Expectation
and its implications on Financial
Institutions & their Clients**

*Talal Mahmud, Regional Head
Financial Crime Compliance (Trade),
Standard Chartered*



**12.30 Panel: Anticipating the Future
of Conduct Risk**

- Defining conduct risk in a shifting landscape
- Roles and responsibilities in conduct risk



**11.40 Opening Panel: The
Next Big Thing – Emerging
OpRisk**

- How do you define and identify emerging risks?
- Can scenario analysis be used to identify future threats?

Moderator:

*Joy St John, Director - Risk
Consulting Advisory, KPMG*

Panellists include:

*Gareth Davies, Independent
Risk Leader, Wells Fargo
Kathleen M Stack, Head of
Operational Risk Operations
and Assurance, US, Global
Operational Risk | HSBC North
America*

*Professor Ina Wanca, New York
University, Vice President
Innovation, Mastercard*



**12.20 The Known
Unknowns: Using AI for GRC
and Risk Management**



**11.40 Opening
Keynote: Taking a Pragmatic
Approach to KRIs**

How can firms effectively and accurately interpret results?

- Managing the volume of data and effectively measuring results to provide achievable actions
- Identifying the threshold and reporting methodologies

*Graeme Farrell, Managing
Director - Chief Operational
Risk Officer, AQR*



**12.00 Panel:
Determining the Right
Balance for RCSAs**

- What are banks doing differently around RCSA?
- What is the right assessment and how can it be achieved?



**11.40 Opening Panel: Cloud Based
Computing and Third Party Risk Management**

- How are leading firms managing, storing, moving (...or not moving) data?
- What impact has cloud providers had on operational risk and how are organizations managing this?
- What pivotal grey areas still remain in determining the risk of cloud based computing and third party providers?

Panellists:

*Cenk Ipeker, Head of NICE, ACTIMIZE CLOUD
Andrew Jaquith, Independent Representation
Praveen Nair
Americas Model Risk Management
MUFG Union Bank, N.A.*





12.20 Cyber Assessing the Risk


- What is cyber risk and should you be concerned
- Identifying where and how you might be at risk
- Can we quantify the exposure?

*Mark Feeley, Research Director, Chartis
Research*




<ul style="list-style-type: none"> New considerations and emerging risk <p>Moderator: <i>Johannes Tekle, Principal, J Tekle Risk Consulting, former Director, Risk Management Methodology, Bank of Montreal</i></p> <p>Panellists include: <i>Rahamim "Rami" Shy, Independent Compliance Risk Management - Conduct Risk Management, Citi</i> <i>Andrea (Balkin) Campana Americas Head of Conduct & Disciplinary Compliance, Credit-Suisse</i> <i>Jane Yao, Senior Vice President, Benchmarking & Survey Group, American Bankers Association</i> <i>Bonnie Frank, Vice President, Enterprise Risk and Crisis Management, PSP Investments</i></p> <p>1.10 End of stream</p>	<ul style="list-style-type: none"> Piloted projects for AI in crowd sourcing <i>Peter Bannister SVP Governance, Risk & Compliance, MetricStream</i> <p> 12.40 Presentation: Do We Have a Strategy for Managing Operational Risk?</p> <ul style="list-style-type: none"> Where do we stand today? Learning from our past and facing into the future. If we don't have a strategy can we see some strategic trends? Facing into big issues for the future <p><i>Simon Wills, Executive Director, ORX</i></p>	<ul style="list-style-type: none"> How can your department integrate better with compliance and internal controls to provide a comprehensive view and achieve sign off? <p>Moderator: <i>Stuart Abramovitz Financial Services Non-Financial Risk and Regulatory Executive</i></p> <p>Panellists include: <i>Tripp Rex, Director of Operational Risk, U.S. Bank</i> <i>Paul Tuller, Business Operations Director, JPMorgan Chase & Co.</i> <i>Isabel Rohrbeck, Head of Operational Risk – Americas, Group Risk, Schroders</i> <i>Dan McKinney, Partner, Ernst & Young</i></p> <p> 12.40 Deep Dive: How to Cater your Operational Risk Framework</p>	<p>12.50 end of stream</p>
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	 <p>1.00 How Vendor Risk is Moving Towards a Know Your Customer Dynamic</p> <p><i>Ken Wolckenhauer, VP, Vendor Management at Nordea Bank, New York Branch</i></p> <p>1.20 End of stream</p>	<ul style="list-style-type: none"> • Implications for retail banks vs large banks • The ins-and-outs of requirements and regulations • Who is regulated and how? • Learn from key examples of effective operational risk management <p>Interactive session that will be held as a Q and A with an ORM specialist. Questions are to be submitted via slido.</p> <p><i>Dan McKinney, Partner, Ernst & Young</i></p> <p>1.00 Fireside Chat: Getting RCSAs Right</p> <ul style="list-style-type: none"> • Identifying the benefits of questionnaires and process controls • Systems available to process controls effectively • Identify how leading firms are capturing high volumes of risk event data 	
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		<ul style="list-style-type: none"> • How are firms able to amalgamate this risk data with the general ledger? <p>Moderator:</p> <p><i>Paul Tuller, Business Operations Director, JPMorgan Chase & Co.</i></p> <p>Interviewee:</p> <p><i>Thomas Tobin Director - Operational Risk Americas Risk Management Mizuho Americas</i></p> <p>1.20 End of stream</p>	
1.20 Networking Lunch			
<div>  2.20 WAR GAMES: How resilient is your organization? Disaster recovery and business continuity in operational and cyber risk </div> <p>PART I: SCENARIO DISSECTION AND STRATEGIZING In each disaster and recovery scenario, participants are introduced to an operational risk scenario which is still unfolding and asked to consider the immediate steps they would advise their firm to take based on the information available at each stage</p> <p>PART II: HARVEST SESSION Each Leader will summarise their POA of the discussion and present it back to the table participants with comments</p>			

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Learning outcomes:

- What immediate actions would you advise your firm to do in the scenario?
- Hierarchy of response- who are the 1st and 2nd responders?
- Incident management- how do you assess the impact on your firm?
- What's your crisis management protocols? What do they look like?
- How equipped is your organisation to respond to high stress situations?
- Business continuity planning from employees to infrastructure

Emerging Technology: Failing Infrastructure

Yogesh Mudgal, Director, Emerging Technology Risk, Citi

Rogue Algorithms

Professor Ina Wanca, New York University, Vice President Innovation, Mastercard

3.00 Diversity in Risk: How Progressive Firms are Enabling an Inclusive Environment

- Diversity as a driver for success
- Risk: a unique perspective on diversity
- Diversity as a reputational risk

Bonnie Frank, Vice President, Enterprise Risk and Crisis Management, PSP Investments

Joy St John, Director - Risk Consulting Advisory, KPMG

Kathleen M Stack, Head of Operational Risk Operations and Assurance, US, Global Operational Risk | HSBC North America

3.30 Coffee Break



3.50 2019: Risks and Opportunities from a Front Office Perspective

Kevin D. Mahn, President and Chief Investment Officer, Hennion & Walsh Asset Management

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4.10 Panel: Technology Risk Management Present and Future

- What defines emerging technology?
- Thinking tech: why technology is synonymous with the modern bank and what this means for risk
- Identifying critical operational risks within the capacity of new tech: disruption of typical processes outsourced to vendors, consumer and employee data and denial of service attacks
- How are we adapting controls to cater to extreme technologies?
- How emerging technologies plan to be used by financial institutions: how is the pace of change increasing?
- New roles and responsibilities emerging from technical innovations and upgrades to infrastructure
- Is blockchain now or emerging?

Moderator:

Alan M. Silber, Managing Director, Chartis

Panellists include:

Michael Barry, Executive Director - Head of Operational Risk and Information Security, Natixis

Yogesh Mudgal, Director, Emerging Technology Risk, Citi

Angel Lorente, Financial Services Pro | FinTech Connector - Connecting the FinTech Community, Americas Financial Innovation Leader

4.40 Closing Keynote: Deriving Risk Intelligence from Unstructured Text

Understand how having the ability to monitor ever increasing volume of text data can improve your risk management process
Learn about current generation Natural Language Processing (NLP) systems and understand their limitations

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Get a glimpse into the future and see what you can expect from next-generation cognitive systems

Ambika Sukla, Entrepreneur, AI/ML Executive, Researcher and Speaker, Ex-Morgan Stanley AI, Ex-Goldman Sachs

5.00 Key Takeaways Summary

Marcelo Cruz, Editor and Chief, The Journal of Operational Risk

5.10 Close of conference