

Compliance@nline Banking Summit 2017

Risk Management and Data Security

New York, NY | April 27-28, 2017

04

KEYNOTE SESSIONS

15+
SESSIONS

04

PANEL DISCUSSIONS

10

TRACK SESSIONS

The Roosevelt Hotel, NYC
45 East 45th Street &
Madison Avenue,
New York, NY 10017



April 27-28, 2017



NASBA
National Association of State Boards of Accountancy

Summit attendees are eligible for
16.8 CPE credits upon completion
of training.

SPEAKERS



Steve Nasalroad, CAMS
Head of Internal Audit, Trust Company of America



Adam Kerns
Assistant General Counsel, American Insurance Association



Janardhan Cadambi
Chief Franchise Development Officer, MasterCard



Eric Parker
Director, KPMG



Shaun Miller
Director, Veritas Fincrime Consulting



Mario Mosse
President, MMosse Consulting, LLC



Marc Perl
Owner, Teknowlogy Associates & Consultant, VISA



Rohit Bedi
Senior Vice President & Executive Leadership, MetricStream



Armen Khachadourian
President and Founder, Digital Payments LLC



Peter Goldman
MSc, CFE, CFCI, President, FraudAware LLC



Michael C Redmond
Lead Strategic Consultant, EFPR Group LLP



Peter Whyntie
BEC, Dip CM, FGIA, FCIS, ICCP Fellow, GAICD,
Director & Principal Consultant, Peter Whyntie & Associates



Doug Johnson
Senior Vice President and Chief Advisor,
American Bankers Association



Karen L Garrett
Partner, Stinson Leonard Street LLP



Rayleen M Pirnie
CEO, RP Payments Risk Consulting Services LLC



David M. Long, JD, CFE
Associate Professor of Criminal Justice and Legal Studies,
Brandman University



Mark Hargrave
Partner, Stinson Leonard Street LLP

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DAY 01 - APRIL 27, 2017

Note: This program may be subject to alterations and additions

08:00 - 09:00 am	Registrations and Networking Breakfast
09:00 - 09:15 am	Welcome Speech with an Introduction of ComplianceOnline & Summit Rohit Bedi , Senior Vice President & Executive Leadership, MetricStream
09:15 - 10:00 am	2017 Banking Outlook - Emerging Industry Changes and Its Impact on Bank Strategies - Keynote Speech Steve Nasalroad , CAMS, Head of Internal Audit, Trust Company of America
10:00 - 10:45 am	Risk Governance & The Board of Directors' Role in It - Keynote Speech Adam Kerns , Assistant General Counsel, AIA This session will offer a comprehensive review of the corporate governance standards applicable to insurance companies and the board of directors' role in those standards. Specific state laws affecting these standards include the Insurance Holding Company System Regulatory Act, the Own Risk and Solvency Assessment Act, the Corporate Governance Annual Disclosure Act, and the Model Audit Rule. The session will highlight provisions from each of the above areas of law that directly affect the board of directors' role.
10:45 - 11:00 am	Networking Break
11:00 - 11:45 am	Integrated GRC in Banks and Financial Services Companies - Panel Discussion Michael C Redmond , Lead Strategic Consultant, EFPR Group LLP (Moderator) Steve Nasalroad , CAMS, Head of Internal Audit, Trust Company of America Eric Parker , Director, KPMG Shaun Miller , Director, Veritas Fincrim Consulting Peter Whyntie BEc , Dip CM, FGIA, FCIS, ICCP Fellow, GAICD, Director & Principal Consultant, Peter Whyntie & Associates
11:45 - 12:00 pm	Sponsorship & Speaking Opportunities
12:00 - 01:00 pm	Lunch









TRACK A - SESSIONS

TRACK B - SESSIONS

01:15 - 01:55 pm	Social Engineering & Payments Fraud Peter Goldmann , MSc., CFE, CFCE, President, FraudAware LLC Banks continue to fight against old and new forms of payments fraud--from check counterfeiting and forgery to ACH fraud, credit card, P-card and wire transfer fraud. New schemes to circumvent bank payments controls are being deployed on a constant basis. Learn how to get a step ahead of the payments fraudsters from both inside and outside the organization.	Perceptions & Reality of Panama Papers & AML Investigations Armen Khachadourian , President, Digital Payments Inc Recognizing and investigating suspicious activities is the key in safeguarding an organization's financial system from illicit use and combating money laundering. It would be prudent to ensure having an effective AML compliance program which is tailor-made for the key risk factors within an organization. Reports published in the Panama Papers on the secretive industry that banks and lawyers use has increased scrutiny which resulted in a recent spike in the number of companies getting exposed, fined for sanctions breaches. This clearly indicates the need for banks to re-evaluate their existing compliance programs to ensure that they provide maximum protection from increased regulatory scrutiny and serious risk.
02:00 - 02:40 pm	Understanding and Avoiding the Curse of Mortgage Fraud - Hot Legal Issues Peter Goldmann , MSc., CFE, CFCE, President, FraudAware LLC Mortgage fraud was a major driver of the financial crisis of 2008. Unfortunately, eight years later, mortgage fraud continues to plague banks, borrowers, brokers and regulators. This discussion will address some of the CURRENT mortgage schemes targeting lenders and look at the legal and regulatory issues that have arisen in recent years to protect all parties in the mortgage lending market.	Compliance & Data Breach - From Evolution to The Risk and Why Security Matters Marc Perl , Owner, Teknowlogy Associates & Consultant , VISA Today's data security standards do not guarantee a breach free operation, but compliance with one of the top standards certainly reduces the chances of a breach significantly. We will discuss the current status of data security compliance standards. Your organization should plan for the actions that will be taken when, not if, the breach occurs. We'll present a framework for securing your organizations' important assets.
02:40 - 02:55 pm	Networking Break	
03:00 - 03:40 pm	Emerging AML/BSA Threats - Recent Developments to Tackle David M. Long , JD, CFE, Associate Professor of Criminal Justice and Legal Studies, Brandman University To the layperson, money laundering might be viewed as a so-called "victimless" crime, or, at least one that does not typically impact the average person. However, AML and fraud prevention professionals understand that the money laundering threat is real and the potential exists for it to cause enormous economic harm to the average person. Several key areas, namely real estate and emerging technologies, are receiving the attention of AML/BSA regulators and others in the field. This discussion will touch on recent efforts by regulators and other professionals to defend against money laundering threats in these industries.	Block Chain as a Risk Management / Data Security Emerging Technological Approach with Respect to KYC & Transactions Shaun Miller , Director, Veritas Fincrim Consulting A block chain is a transaction database shared by all nodes participating in a system based on the Bitcoin protocol. This session describes the bitcoin concept and what Blockchain is as well as its Financial applications to creating secure KYC and payment data sets. This session explains a blockchain concept where the blockchain itself is a shared single source of truth. Financial institutions, consultancies are getting onboard with this new ledger technological approach. This new approach is at the forefront of its development and we are discovering its unknown potential.
03:45 - 04:30 pm	Identity Theft and Identity Fraud: Latest Challenges for Banks and How to Mitigate Risk - Panel Discussion Peter Goldmann , MSc., CFE, CFCE, President, FraudAware LLC. Marc Perl , Owner, Teknowlogy Associates & Consultant , VISA Michael C. Redmond PhD, ISO CyberCertifications, PMP, MBA, Lead Strategic Consultant, EFPR Group LLP David M. Long , JD, CFE, Associate Professor of Criminal Justice and Legal Studies, Brandman University Armen Khachadourian , President, Digital Payments Inc Identity theft and identity fraud are among the top threats to bank operations. Not just from a data security point of view, but also from the perspective of financial loss, legal liability and customer disenfranchisement. This discussion will focus on latest threat to bank customer privacy and identity and highlight some of the newest best practices in self defense.	
04:30 - 04:45 pm	Closing Mark - Next Day Plan	






DAY 02 - APRIL 28, 2017

Note: This program may be subject to alterations and additions

-  08:00 - 08:30 am Registrations and Networking Breakfast
-  08:30 - 09:10 am **Payment Risks and Securing the Payment Franchisee - The Future of Secure Payments - Keynote Speech**
Janardhan Cadambi, Chief Franchise Development Officer, Mastercard
-  09:10 - 09:50 am **Managing Vendor Risk Through Contracts and Due Diligence**
Karen L. Garrett, Partner, Stinson Leonard Street LLP
Rayleen M. Pirnie, AAP, CEO, RP Payments Risk Consulting Services (Moderator)
Financial institutions inherently take on additional risk when they outsource services. This session focuses on reducing common risks by evaluating appropriate due diligence strategies and contract provisions. Attendees will receive valuable takeaways and action items.
-  09:50 - 10:30 am **DFS Cyber Requirements**
Michael C. Redmond PhD, ISO CyberCertifications, PMP, MBA, Lead Strategic Consultant, EFPR Group LLP
(DFS) Department of Financial Services Cyber Regulation for NYS Financial Services and Insurance Companies, according to Governor Andrew M. Cuomo, are "first-in-the-nation" regulations" designed to protect New York State from the ever-growing threat of cyber-attacks. They "requires banks, insurance companies, and other financial services institutions regulated by the State Department of Financial Services to establish and maintain a Cybersecurity program designed to protect consumers and ensure the safety and soundness of New York State's financial services industry." Learn what is required to be compliant and how to implement the Regulation.
-  10:30 - 10:45 am Networking Break
-  10:45 - 11:05 am **Key Risk and Compliance Considerations for Financial Services Firms**
Eric Parker, Director, KPMG
-  11:05 - 12:00 pm **Cyber Security Risk Landscape - Panel Discussion**
Rayleen M. Pirnie, AAP, CEO, RP Payments Risk Consulting Services (Moderator)
Michael C. Redmond PhD, ISO CyberCertifications, PMP, MBA, Lead Strategic Consultant, EFPR Group LLP
Adam Kerns, Assistant General Counsel, American Insurance Association
Mario Mosse, President, MMosse Consulting, LLC
Shaun Miller, Director, Veritas Fincrime Consulting
-  12:00 - 01:00 pm Lunch & Networking

TRACK A - SESSIONS

TRACK B - SESSIONS

-  01:00 - 01:40 pm **High Level Overview of How to Use Big Data for an AML/ AB&C Compliance Overview**
Shaun Miller, Director, Veritas Fincrime Consulting
High level overview of how to use Big Data for an AML/ AB&C Compliance overview. The aim of this session is to describe to structure of a compliance review and the usage of information informing upon this review. The session will explain qualitative and quantitative information types used in such a review. The information follows a journey of initially being in an unstructured format, becoming structured, subjected to data quality review, sampling and subsequent forensic analysis. This analysis influencing strategic decision management capabilities in terms of risk mitigation.
-  01:40 - 01:55 pm **Effective Regulatory Change Management Process for Banks**
Mario Mosse, President, MMosse Consulting, LLC
Regulatory change management needs to be supported by a well-designed and properly implemented process that ensures legislative and regulatory changes impacting your bank, are captured, analyzed and, where applicable, embedded into company policies and procedures. Banks that do not have adequate processes in place to monitor regulatory change, determine impact on business processes, prioritize, and make changes to policies and procedures may suffer significant consequences. An effective and efficient workflow needs to be in place so that organizations are not overwhelmed by data obtained through legal and regulatory subscription services, websites, e-mails, and content aggregators.
-  01:40 - 01:55 pm Networking Break
-  01:55 - 02:55 pm **Taking Control of Account Takeover - Panel Discussion**
Rayleen M. Pirnie, AAP, CEO, RP Payments Risk Consulting Services
Mark Hargrave, Partner, Stinson Leonard Street LL
Doug Johnson, Senior Vice President and Chief Advisor, Payments and Cybersecurity Policy, American Bankers Association (ABA)
Panelists tackle one of the most challenging and pervasive financial frauds, Account Takeover. This interactive session provides attendees with a unique opportunity to pose their operational, strategic risk management and legal questions to industry experts who will provide valuable insight and strong risk management strategies to help attendees succeed in their fight.
-  02:55 - 03:15 pm Vote of Thanks & Participatory Certificates Distribution

Registration Form

Registration Information:

- » [Register Online](#). Use your American Express, Visa or MasterCard.
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