

IAS 2018 ANNUAL CONFERENCE

MANAGING RISKS IN A DISRUPTIVE ENVIRONMENT

NOVEMBER 4–7, 2018 | SHERATON GRAND NASHVILLE DOWNTOWN - NASHVILLE, TN

Sunday
November 4, 2018

12:00PM – 5:00PM

— **Golf Tournament**

Located 10 minutes from Nashville International Airport and 5 minutes from Gaylord Opryland Resort, Gaylord Springs Golf Links has consistently been recognized among GolfWeek's best courses you can play in Tennessee.

Please email Lizzie Grimm at egrimm@sifma.org to reserve your spot.

LOCATION

Gaylord Springs Golf Links

6:30PM – 8:00PM

Welcome Reception

Monday
November 5, 2018

7:30AM – 8:30AM

Networking Breakfast

8:30AM – 4:00PM

— **General Session**

General Session Audio Visual Sponsored by [EY](#)

8:30AM – 8:35AM

— **President's Opening Remarks**

SPEAKER



Paul Jensen

Internal Audit Chief Administrative Officer and Head of Audit Practices
[JPMorgan Chase & Co.](#)
[Biography](#)

8:35AM – 8:40AM

— **Conference Chair's Opening Remarks**

SPEAKER



Jack McNamara

Managing Director, Audit
[BNY Mellon](#)
[Biography](#)

8:40AM – 9:30AM

Risk Management amid Disruptive Technological Innovation

This talk will provide a historical perspective of technology driven disruptions in financial services and follow it up with ideas on how risk managers must evolve their tools and methods to meet the changing landscape.

SPEAKER



Rajesh Jayaraman
Chief Technology Officer
[Ellevest](#)
[Biography](#)

9:30AM – 10:20AM

Energizing Auditors in a Changing and Disruptive World

With the ongoing disruptions to business caused by new technology, regulatory change, political uncertainty and strategic objectives, our audit functions need to be infused with renewed energy so that we can be dynamic and pro-actively be at the forefront of such change. We need to successfully tackle our audit world face-on while also balancing current lifestyle expectations and the needs of our teams. The right energy within our audit groups will help audit leaders manage the challenges of retaining and developing strong talent, understanding the needs and wants of millennials, and adjusting to the C-suite's ever changing needs as well as disruptions that face our audit plan. This panel hosted by the Women in Leadership Committee will include a mix of audit professionals and non-audit professionals that will consider some of the challenges we face in today's environment across our organizations.

MODERATOR



Regina Piscazzi
Head of Internal Audit
[Apollo Global Management LLC](#)
[Biography](#)

PANELISTS



Jennifer Fisher
National Managing Director for Well-being
[Deloitte](#)
[Biography](#)



Gladys Griffiths
Managing Director, Internal Audit
[RBC](#)
[Biography](#)



Heather Haboush
Chief Operating Officer
[Citi](#)
[Biography](#)



Erwin Shilling
Director of Audit for Securities
[Goldman, Sachs & Co.](#)
[Biography](#)

10:20AM – 10:40AM

Networking Break

Sponsored by [CrossCountry Consulting](#).

10:40AM – 11:30AM

Breakout Session: Operational Risk – The Risk Dashboard Debate

In this lively session, a panel of experts in their field will discuss and debate whether financial services organizations are in an environment of increasing or decreasing risk, by looking at current trends across different aspects of operational risk. Learn what this could mean for financial services internal audit by attending this breakout.

MODERATOR



Peter M. Brady
Northeast Region Consulting Services Leader
[RSM US LLP](#)
[Biography](#)

PANELISTS



Richard Aiello
Vice President, Operational Risk Management
[E*TRADE Financial Corp.](#)
[Biography](#)



Kevin Depew
Deputy Chief Economist
[RSM US LLP](#)
[Biography](#)



Corey Wells
Managing Principal
[Focal Point Data Risk, LLC](#)
[Biography](#)

10:40AM – 11:30AM

— **Breakout Session: Beyond ‘Vendor Risk’ – Reliance on Third-Parties for Core Business Functions and Approaches to Reducing Related Risk**

As the use of third-parties increases, such as through the use of Cloud computing, blockchain, affiliate arrangements and other third-party functions, related risk is raised. Financial institutions have little choice, as they must remain competitive in the market. The combination of new technologies, disruptive business models and the speed of impact from risk events has raised the level of inherent risk in the use of third-parties, and older vendor risk assessment models and SOC2 assessments are become more sophisticated. In this session, our speaker will walk through the fundamental areas of priority in a regulated third-party management program designed for today's disruptive environment.

MODERATOR



Jack McNamara
Deputy Chief Auditor
[BNY Mellon](#)
[Biography](#)

PANELISTS



Tom Garrubba
Senior Director and CISO
[The Santa Fe Group](#)
[Biography](#)



Erin Hill
Chief Administrative Officer
[BNY Mellon](#)
[Biography](#)



Chris Poulin
Principal Consulting Engineer
[BitSight Technologies](#)
[Biography](#)



Frank Roppelt
Senior Manager, Security Policy & Vendor Risk
[TD Ameritrade](#)
[Biography](#)

11:30AM – 12:20PM

— **Fireside Chat: Geopolitical Risk, Trade and Investment**

SPEAKERS



Kevin Kajiwara
Co-President
[Teneo Intelligence](#)
[Biography](#)



Jonathan Shames
Geostrategic Business Group Leader and Global Client Service Partner, Private Equity
[EY](#)
[Biography](#)

12:20PM – 1:30PM



Networking Luncheon

Sponsored by [KPMG LLP](#)

1:30PM – 2:20PM

— **Breakout Session: Culture, Conduct and Accountability in an Era of Disruption**

Certainly there are a small number of bad actors out there that will play out schemes given the opportunity and enough motivation – but how do organizations mitigate the risk of misconduct from Sr. Management through to each employee? What new behaviors and accountability frameworks are emerging in today's disruptive and innovative culture, that indicate risky conduct? This session explores what is changing in conduct and organizational behavior that may lead to unwanted conduct that could place our firms [the organization] into serious negative public scrutiny.

SPEAKERS

Laura Gellman
Senior Vice President, Compliance Manager
[Wells Fargo](#)
[Biography](#)



Patrick Simonnet
Global Head of Audit for Market Behavior & Conduct
[Credit Suisse](#)
[Biography](#)

1:30PM - 2:20PM

Breakout Session: Risk and Regulatory Disruptions...What You Need to Know

This session will focus on emerging risk and recent regulatory pronouncements impacting financial services. The discussion will focus on BSA, OFAC and other AML related areas as well as key Cybersecurity and Technology disruptions.

MODERATOR



Gabrielle Bass
Sales and Marketing
[Accume Partners](#)
[Biography](#)

PANELISTS



Michael Paliseno
Director of IT Audit
[Guggenheim Partners](#)
[Biography](#)



David Roath
Chief Executive Officer
[Accume Partners](#)
[Biography](#)

Michael Rosenberg
Executive Director, Risk & Regulatory Advisory Services
[Accume Partners](#)
[Biography](#)

2:20PM - 2:40PM

Networking Break

2:40PM - 3:10PM

Transforming Internal Audit Using New Technology

The presentation will outline how new enabling technology will transform the role of Internal Audit and help realize the aspirational vision of an insightful, proactive and future focused function.

SPEAKER



Stephen Mills
Managing Director
[Promontory, an IBM Company](#)
[Biography](#)

3:10PM - 4:00PM

CAE Panel

MODERATOR

Eric Sutphin
Partner
[KPMG LLP](#)
[Biography](#)

PANELISTS

Denise DeMaio
Chief Audit Executive
[MUFG Union Bank, N.A.](#)
[Biography](#)

Mitch Mantua
Executive Vice President, CAE Internal Audit
[Charles Schwab & Co.](#)
[Biography](#)

Kevin Murray
Managing Director
[UBS AG](#)
[Biography](#)

5:30PM - 7:00PM

Networking Reception

Sponsored by [PwC](#)

Tuesday
November 6, 2018

8:15AM – 9:00AM

Networking Breakfast

9:00AM – 2:05PM

General Session

General Session Audio Visual Sponsored by [EY](#)

9:00AM – 9:05AM

Conference Chair's Opening Remarks

SPEAKER



Bruce Goldberg
Managing Director, Deloitte Risk and Financial Advisory
[Deloitte & Touche LLP](#)
[Biography](#)

9:05AM – 10:05AM

Cyber Security: Insights Beyond the Headlines

In this lecture, noted security expert Tom Patterson leverages his decades fighting cyber criminals and foreign spies to take us on an insider's tour through today's cyber threats against the financial industry, giving a face to our enemies, and laying bare their sources and methods. In this highly interactive session, Tom tells inside stories of current real world attacks you've read about, dispels myth's and misperceptions, and encourages active discussions on how, why and what's happening, and who is really behind it all. Armed with this information, Tom then illuminates both mistakes and successes of your peers, and highlights three specific keys to defense in this time of highly disruptive cyber attacks that we work in.

Learning Objectives:

- Understand how today's threats require new thinking to defend.
- Learn from other's mistakes, and avoid their own.
- Become security evangelists armed with persuasive stories for their own organizations

SPEAKER



Tom Patterson
Author
Mapping Security: The Corporate Security Sourcebook for Today's Global Economy
[Biography](#)

10:05AM – 11:05AM

Collaboration and Independence of 2nd and 3rd 'Lines of Defense' in the Era of Technology Transformation

How are financial institutions sharing risk perspectives, data, and harmonizing points of view in today's disruptive and fast moving environment. Each 'Line of Defense' ("LOD") has its own mission, and is transforming / modernizing their processes to meet needs for more powerful risk insights - It is well understood many of the same data points used in one LOD are in demand by another LOD, but applied differently. The Board also demands more harmonized risk themes to understand how it impacts business objectives and risk appetite. The challenge is to fit into an organizational risk framework which is also transforming while also reducing the cost of risk management and compliance functions.

Hear from our panelists, representing OpRisk, Compliance, Third-party Risk Management, IT Risk and Corporate Risk and Compliance Systems leaders discuss real life progress on their journey, and how each collaborates and applies technology to extract more robust actionable insights in their organizations.

MODERATOR



A. Michael Smith
Partner, US Internal Technology Audit Services Leader for Financial Services
[PwC](#)
[Biography](#)

PANELISTS



Julian Fry
Managing Director, Head of Operational Risk Oversight - Combined US Operations
[UBS AG](#)
[Biography](#)

James Karayanis
Chief Compliance Officer
[E*TRADE Financial Corporation](#)
[Biography](#)

11:05AM – 11:25AM



Networking Break

Sponsored by [Focal Point Data Risk, LLC](#)

11:25AM - 12:15PM

— **Modernizing Internal Audit Panel Discussion – People, Process and Technology**

Internal audit functions must evolve and modernize to stay relevant. Innovative internal audit functions must constantly re-evaluate the People, Processes, and Technology being leveraged to anticipate and evaluate risk while adding value to the business. The Modernizing IA Panel will share their successful experiences building and implementing these innovative practices, including workforce development and employee engagement, delivery models, and using automation.

Learning Objectives:

- Recognize the need to modernize their Internal Audit functions, and gain an understanding of the benefits of innovation and what it takes to get there
- Understand the changing landscape of the industry and internal audit and what considerations (i.e., training, organizational structure) IA functions will need to acknowledge to strengthen its skill set and increase its impact and influence within the organization
- Challenge existing processes by examining ways to streamline and simplify the IA process to increase efficiency focusing on agility and innovation
- Effectively leverage automation (Robotics/RPA, analytics and AI) tools and technologies throughout the audit lifecycle to reshape internal audit and its impact

MODERATOR



Michael Schor
Partner
[Deloitte](#)
[Biography](#)

PANELISTS

Steve Pollick

Senior Vice President, Audit Director -
Enterprise Risk Management
[Bank of America](#)
[Biography](#)



Crystal D. Rilee

Senior Vice President, Audit Director - Training,
Branding & Recognition
[Bank of America](#)
[Biography](#)



Kevin Thalinger

Senior Vice President, Audit Director - Process
Innovation
[Bank of America](#)
[Biography](#)

12:15PM - 1:15PM

— **Networking Luncheon**

Sponsored by [ProTiviti Inc.](#)

1:15PM - 2:05PM

— **Regulatory Panel**

PANELISTS



Michael Rufino

Executive Vice President, Head of Member
Regulation - Sales Practice
[FINRA](#)
[Biography](#)

Dennis Ryan

Head of Operational Risk Oversight
Department, Financial Institutions
Supervisions Group
[Federal Reserve Bank of New York](#)
[Biography](#)

2:05PM - 2:55PM

— **Breakout Session: How does IA make disruptive innovation a friend, not foe?**

Key topics include the following:

- Effective and efficient internal audit through approaches such as Agile Internal Audit and the use of subject matter resources
- Effective and efficient internal controls through approaches such as testing reliance and controls transformation/forward looking controls for the organization

MODERATOR



Dan Costa

Principal, IT Risk Assurance
[EY](#)
[Biography](#)

PANELISTS



Michael Gandara

Chief Auditor - Global Technology
[JPMorgan Chase & Co.](#)
[Biography](#)



Edward Kirkorian

Managing Director, Audit Technology
[BNY Mellon](#)
[Biography](#)



Chad Levant

Co-Head of Americas Technology Audit and
Global Director of Audit
[Goldman, Sachs & Co.](#)
[Biography](#)

2:05PM – 2:55PM

Breakout Session: The Next Generation of Internal Auditing – Are You Ready? Future-minded Auditors Discuss What's Next

A forward-looking audit function should provide insight, oversight and foresight around an organization's current and future risks and controls. Cutting-edge technologies, data analytics and transformative audit approaches and methodologies enable and accelerate how internal audit functions operate – now and for the future.

Join Protiviti's Managing Director Michael Thor for an interactive panel discussion with audit executives who are shaping the next generation of internal audit in their organizations through:

- Improving assurance by increasing the focus on key risks
- Making processes more efficient through the use of advanced technologies (including robotic process automation)
- Providing more valuable insights on emerging risks

MODERATOR



Michael Thor
Managing Director
[Protiviti](#)
[Biography](#)

PANELISTS

Michael Bidon
Executive Director
[Morgan Stanley](#)
[Biography](#)



Arslan Khan
Senior Vice President, Head of Analytics
[State Street Corporation](#)
[Biography](#)



Vincent R. Pinelli
Managing Director, Deputy Chief Audit Executive for Internal Audit for the Americas (IAA)
[MUFG Union Bank, N.A.](#)
[Biography](#)

2:55PM – 3:15PM

Networking Break

3:15PM – 4:05PM

Breakout Session: Operational Risk – Risk Perspective on Conference Focus Topics

This interactive roundtable discussion will examine the Risk perspective of some of the focus topics being presented at this year's conference such as Geopolitical Disruption, Blockchain, AI, Robotics and Cyber Threats.

MODERATOR



Richard Aiello
Vice President, Operational Risk Management
[E*TRADE Financial Corporation](#)
[Biography](#)

PANELISTS



Michael Beasley
Director, IT Risk Management
[E*TRADE Financial Corporation](#)
[Biography](#)



P.J. Warwick
Partner, Risk & Compliance Advisory Services
[CrossCountry Consulting](#)
[Biography](#)

Breakout Session: Cybersecurity, Privacy and Data Protection: Assessing Risk Under GDPR, NYDFS, California Consumer Privacy Act and Other New Regimes

This session will provide an overview of cybersecurity and privacy risks to financial services entities under a changing regulatory environment, with a focus on litigation and reputational issues.

SPEAKERS



Alan R. Friedman
Partner
[Kramer Levin](#)
[Biography](#)



Samuel B. Shepson
Associate
[Kramer Levin](#)
[Biography](#)

6:00PM – 9:00PM

Reception & Dinner

Nashville Underground delivers an intimate, authentic Nashville experience where you can Drink, Taste, and Hear Nashville. The 40,000-square foot live music venue, restaurant, bar, and event space, owned by brothers Joey DeGraw & Gavin DeGraw, showcases Nashville's world-famous music, cuisine, and spirits.

Sponsored by [Deloitte](#)

LOCATION

Nashville Underground

Wednesday
November 7, 2018

8:15AM - 8:55AM

Networking Breakfast

8:55AM - 11:00AM

General Session

General Session Audio Visual Sponsored by [EY](#)

8:55AM - 9:00AM

Conference Chair's Opening Remarks

SPEAKER



Kristen Gantt

GRC Leader - Regulatory & OpsRisk Advisory
[Deloitte](#)
[Biography](#)

9:00AM - 10:00AM

Current Political Outlook

A.B. Stoddard offers a nonpartisan perspective of the political landscape of the day and our nation's upcoming elections. Frequently meeting with sources and politicians of all stripes, Stoddard has her finger on the pulse of Washington, DC, as she offers detailed and smart political and electoral analysis. In a talk as up-to-date as the day's headlines, she covers the five biggest stories in the news, the most up-to-date happenings between Congress and the White House, ongoing budget battles, and the electoral prospects for the two parties.

SPEAKER



A.B. Stoddard

Associate Editor and Columnist
[RealClearPolitics](#)
[Biography](#)

10:00AM - 11:00AM

Cyber Threats within Financial Services and What We Can Do to Protect Ourselves

This panel discussion will address emerging and viable cybersecurity threats within financial services and what is needed in addressing such threats. Panelists will review emerging cyber threats impacting financial services, recent publicized events, related control defects and lessons learned. Additional topics considered will include legal aspects, regulatory trends, disclosure requirements and internal interactions with the board of directors and the audit committee. Lastly, audit and risk management practices will also be included as part of the dialog.

MODERATOR



Annemarie Giblin, Esq.

Senior Counsel - Cyber Liability Attorney,
Global Legal
[Chubb](#)
[Biography](#)

PANELISTS



Maria Filipakis

President
Filipakis Consulting LLC
[Biography](#)



Jeff Lunghofer

Managing Director, CISO
BNY Mellon
[Biography](#)



Dr. Phyllis A. Schneck

Managing Director and Global Leader of Cyber
Solutions
Promontory, an IBM Company
[Biography](#)

11:00AM - 11:10AM

Networking Break

11:10AM - 12:00PM

Audit Roundtable

This roundtable discussion will focus on hot topics faced by Internal Auditors and their departments. Topics to be discussed will consider for example: managing risk in a disruptive environment; use of analytics/AI and robotics; the relationship with other control functions (second line of defense); managing regulatory expectations; and staff development. This will be an interactive session led by experienced internal auditors from leading Financial Services Industry Firms with the participants encouraged to bring additional topics with them for discussion and to provide their perspective on the topics discussed.

MODERATORS



Martin Breheny

Managing Director, Internal Audit
Guggenheim Partners, LLC
[Biography](#)

Mitch Mantua

Executive Vice President, CAE Internal Audit
[Charles Schwab & Co.](#)
[Biography](#)

11:10AM - 12:00PM

IT Audit and IT Risk Management Roundtable

Current challenges within IT Audit and IT Risk Management will be discussed, along with how the SLOD and TLOD engage and coordinate with each other.

MODERATORS



Michael Beasley
Director, IT Risk Management
E*TRADE Financial Corporation
[Biography](#)



Kevin Li
Principal, Head of IT Audit
Apollo Global Management, LLC
[Biography](#)

Private Equity Roundtable

- Risk Management Framework
- Regulatory forces and impact to audit practices
- Technology within the Private Equity audit service model

MODERATORS



Daniel Mutzig
Managing Director and Chief Audit Executive
The Carlyle Group
[Biography](#)



Brian Wieber
Chief Audit Executive, Internal Audit
Kohlberg Kravis Roberts & Co., L.P.
[Biography](#)