

# 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 <u>egrimm@sifma.org</u> to reserve your spot.			
	LOCATION			
	Gaylord Springs Golf Links			
6:30PM - 8:00	PM			
	Welcome Reception			

211

Monday

November 5, 2018

7:30AM - 8:30AM

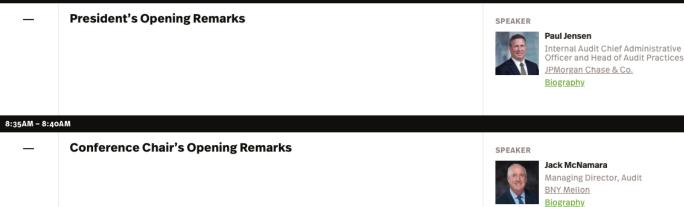
**Networking Breakfast** 

8:30AM - 4:00PM

General Session

General Session Audio Visual Sponsored by EY

### 8:30AM - 8:35AM



### Monday



### 8:40AM - 9:30AM

### **Risk Management amid Disruptive Technological Innovation**

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.

This talk will provide a historical perspective of technology driven disruptions in financial services and follow it up with ideas



MODERATOR

Regina Piscazzi Head of Internal Audit Apollo Global Management LLC Biography

### PANELISTS



National Managing Director for Well-being Deloitte Biography



Gladys Griffiths Managing Director, Internal Audit <u>RBC</u>



### Heather Haboush

**Biography** 

Chief Operating Officer <u>Citi</u> Biography



### Erwin Shilling Director of Audit for Securities Goldman, Sachs & Co. Biography

### 10:20AM - 10:40AM

10:40AM - 11:30AM

### Networking Break

Sponsored by CrossCountry Consulting

### 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



Northeast Region Consulting Services Leader <u>RSM US LLP</u> Biography

### PANELISTS



Richard Aiello Vice President, Operational Risk Management E\*TRADE Financial Corp. Biography



Kevin Depew Deputy Chief Economist RSM US LLP



### Corey Wells Managing Principal

Focal Point Data Risk, LLC Biography

Program as of 10/18/18. All information subject to change. For the most current program, visit www.sifma.org.

### 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.





### PANELISTS



Tom Garrubba Senior Director and CISO The Santa Fe Group Biography



### Erin Hill Chief Administrative Officer BNY Mellon

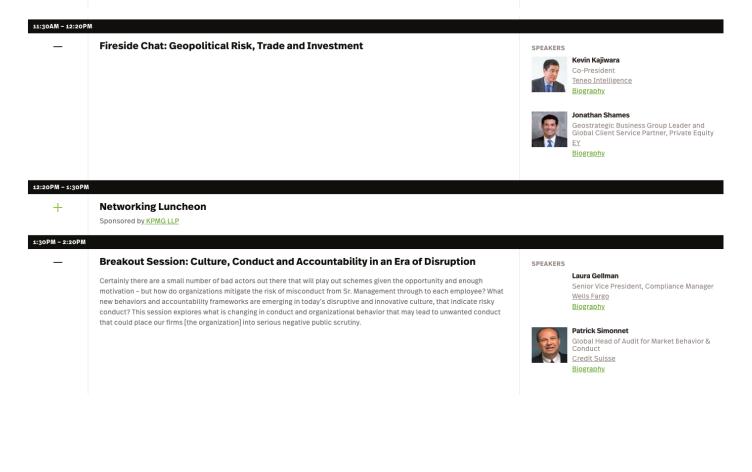


### Chris Poulin Principal Consulting Engineer BitSight Technologies Biography



### Frank Roppelt Senior Manager, Security Policy & Vendor Risk TD Ameritrade

**Biography** 



### Monday

November 5, 2018

### 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** 



Michael Paliseno

Director of IT Audit Guggenheim Partners **Biography** 



David Roath Chief Executive Officer



Michael Rosenberg

Executive Director, Risk & Regulatory Advisory Services Accume Partners **Biography** 

	Networking Break
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2:20PM - 2:40PM

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3:10PM - 4:00PM

**CAE** Panel

### 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.

	Stephen Mills Managing Director Promontory, an IBM Company Biography

SPEAKER

### 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** 

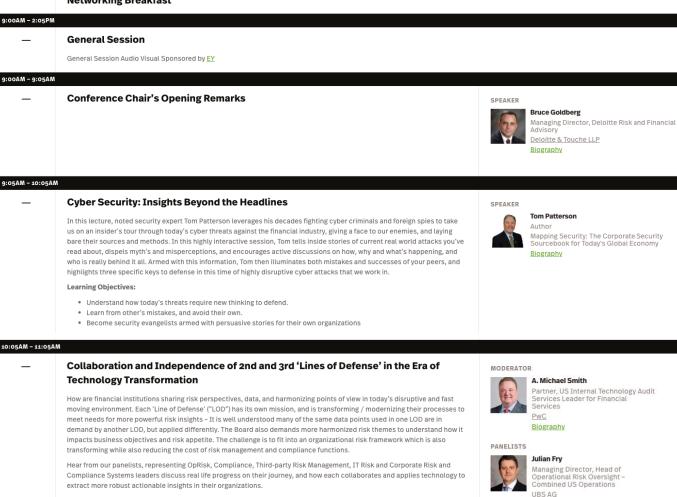


**Networking Reception** 

Sponsored by PwC

8:15AM - 9:00AM

### Networking Breakfast



### 11:05AM - 11:25AM

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### Networking Break

Sponsored by Focal Point Data Risk, LLC

Biography James Karayanis Chief Compliance Officer E\*TRADE Financial Corporation

Biography



### 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 reevaluate 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





### PANELISTS

Steve Pollick Senior Vice President, Audit Director -Enterprise Risk Management Bank of America Biography



### Crystal D. Rilee

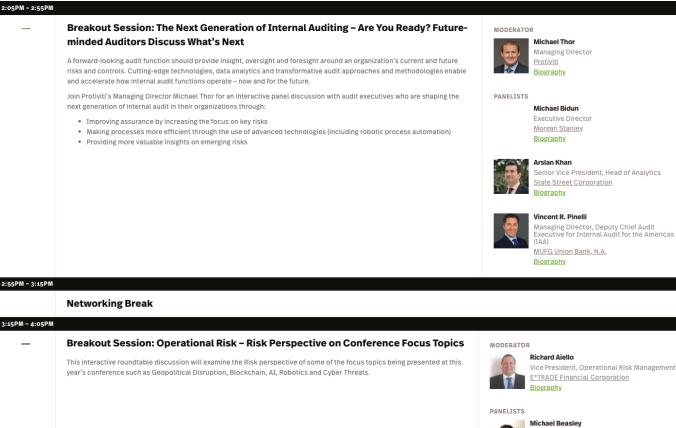
Senior Vice President, Audit Director - Training, Branding & Recognition <u>Bank of America</u> <u>Biography</u>



### 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 <u>FINRA</u> **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? MODERATOR Dan Costa Key topics include the following: Principal, IT Risk Assurance • Effective and efficient internal audit through approaches such as Agile Internal Audit and the use of subject matter EY resources **Biography** · Effective and efficient internal controls through approaches such as testing reliance and controls transformation/forward looking controls for the organization 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**



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.



Director, IT Risk Management E\*TRADE Financial Corporation **Biography** 



Partner, Risk & Compliance Advisory Services CrossCountry Consulting Biography



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** \_\_\_\_ SDEAKER Kristen Gantt GRC Leader - Regulatory & OpsRisk Advisory <u>Deloitte</u> 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.

### 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.



SPEAKER

### PANELISTS





### **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.



### Martin Breheny



### Mitch Mantua

Executive Vice President, CAE Internal Audit Charles Schwab & Co. Biography

## MODERATOR

Annemarie Giblin, Esq. Senior Counsel - Cyber Liability Attorney, Global Legal

A.B. Stoddard

Biography

**RealClearPolitics** 

Associate Editor and Columnist

Biography Maria Filipakis

Chubb

### Wednesday

November 7, 2018

### 11:10AM - 12:00PM

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### 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



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 <u>The Carlyle Group</u> Biography



Brian Wieber

Chief Audit Executive, Internal Audit Kohlberg Kravis Roberts & Co. L.P. Biography