GLOBAL REGTECH SUMMIT | USA

September 24, 2024 – 117 West 46th Street, New York

Stage A	Stage B	Stage C
8:00-8:50am – 🥐☕ Networking Breakfast		
8:50-9:00am – 📣 Welcome to the Global RegTech Summit USA **Speaker:** Richard Sachar, Director, FinTech Global		
9:00-9:10am – 📣 A Word from the Regulator: The Current Priorities for Financial Services Compliance		
9:10-10:00am – 👥🎤 Keynote Panel Discussion: The Organizational Outlook for RegTech 1) What are the most pressing organizational challenges when it comes to executing a successful compliance program in the landscape of today? 2) How are organizations thinking about preparations ahead of the proposed new requirements of the U.S. implementation of Basel III Endgame? 3) When it comes to RegTech, how do firms approach engagement with technology – whether it is in-house or through third-party providers? 4) What approaches are financial institutions having when it comes to the responsible incorporation of AI into their compliance programs? How are organizations taking steps to remain agile in-case of future regulation? 5) Looking into 2025, what macro global trends are you expecting to impact the compliance landscape most and what must financial institutions do to remain proactive in their approaches to remaining compliant?		
10:00-10:20am – 🎤 Keynote Presentation: Prioritizing Consumer Privacy & Protection in Your Compliance Program		
10:20-10:40am – 🎤 Keynote Presentation: How to Achieve & Maintain the Best RegTech Partnership		
10:40-11:15am – ☕ AM Networking Break		
11:15-11:35am – 🎤 Presentation: Tackling the Shifting ESG Disclosure & Reporting Requirements in the U.S.	**11:15-11:35am – 🎤 Presentation: Remaining Operationally Resilient with Third Party Service Providers**	**11:15-12:55pm – 💻🖥 Product Demos Part 1**
11:35-12:15pm – 👥🎤 Panel Discussion – Navigating Regulatory Change Management in 2024: Challenges, Agility, and Innovation 1) What is the magnitude of regulatory changes impacting the financial services in 2024? 2) How agile are financial institutions in managing regulatory changes effectively? What are the toughest challenges faced? 3) What technologies hold the most potential for transforming regulatory change management (RCM)? 4) What requirements do firms need to consider when implementing technology into RCM activities? 5) How far away is the industry from implementing concrete predictive capabilities in regulatory change management?	**11:35-12:15pm – 👥🎤 Panel Discussion: What Constitutes a Modern and Comprehensive Communications Surveillance Strategy?** 1) What market dynamics are impacting the need for enhanced communications surveillance in 2024? 2) What are some examples of successful surveillance strategies that have effectively prevented or detected financial misconduct? 3) What are some examples of recent failures and what lessons can be drawn from them? 4) What tools are available for organizations to better gain a holistic view of all activity? 5) What use-cases are you seeing for AI in the communications surveillance arena and how do you envisage this transforming over the coming years?	

12:15-12:55pm – 👩‍🏫 Panel Discussion: A Closer Look at AML & FinCrime in the RegTech Context 1) What are the largest financial crime threats, occupying the minds of FCC teams today? 2) What challenges are teams facing when it comes to the onboarding and monitoring of clients? 3) How can firms prioritize a premium customer experience with the stringent requirements of AML and KYC regulations? 4) What technologies are proving most transformational when it comes to the monitoring of customers and transactions? How can AI and ML fit into organizational strategies? 5) Is there currently a 'tick-box' approach to financial crime compliance across the industry? If so, how can we shift towards a more proactive approach to the combatting illicit actors?	**12:15-12:55pm – 👩‍🏫 Panel Discussion: Developing a Robust and Agile Risk Management Framework** 1) What risks are financial institutions highlighting as most prominent as we reflect on 2024 thus far? 2) What proactive steps can be taken now to prepare for future market disruptions or disasters? 3) In what ways can technology play into streamlining risk management processes? 4) What place are AI and ML having on risk management strategies? 5) What best practices should be followed to integrate risk management into the daily operations of financial institutions? 6) How can firms promote a risk-aware culture throughout organizations?	
12:55-2:00pm – 🍽️ Networking Lunch		
2:00-2:40pm – 👩‍🏫 Panel Discussion – The Realities for Regulators: Focus Areas for RegTech Discussions in 2024 1) What issues are top-of-mind for U.S. regulators when it comes to RegTech? 2) How are conversations around RegTech adoption typically framed? 3) What technologies have the most transformative potential for increasing compliance across the board? 4) What are some of the key challenges in technological adoption? 5) How are innovation efforts bringing regulators & firms closer together as we look toward the future? 6) What should the priorities be for firms as they await the implementation of Basel III Endgame requirements?	**2:00-2:40pm – Roundtables Session 1** 6x tables of 8 people	**2:00-3.40pm – 👥 Product Demos – Part 2**
2:40-3:00pm – 🔮 Presentation: The Trade Surveillance Technology for Tomorrow		
3:00-3:40pm – 👩‍🏫 Panel Discussion: Maintaining a Focus on Data Quality and Accuracy in Regulatory Reporting 1) What best practices should be adopted for managing data to meet the elevated standards required for regulatory reporting? 2) What steps can institutions take to maintain data integrity and consistency across various reporting frameworks? 3) How can technology solutions like AI and machine learning contribute to improving data quality and accuracy in reports? 4) What methods can financial institutions use to tackle the challenges of ensuring report completeness and timeliness given the growing volumes of data? 5) What strategies can be employed to guarantee that no critical data is missed or incorrectly reported?	**3:00-3.40pm – Roundtables Session 2** 6x tables of 8 people	
3:40-4:00pm – ☕ PM Networking Break		
4:05-4:20pm – 📣 Insights from the Regulator: AI Governance in the Financial Services and Advice on Remaining Compliant		
4:20-5:00pm – 👩‍🏫 Panel Discussion: Beyond the Hype – Practical Use-Cases for AI in Regulatory Compliance 1) Which compliance tasks are experiencing the most significant transformation due to AI and ML advancements? 2) How do teams in organizations think about the potential of generative AI and large language models (LLMs)? What are the primary risks and opportunities associated with these technologies? 3) What strategies do you use for selecting and integrating new AI tools into your current systems and workflows? 4) What is the importance of human oversight in the implementation and use of AI? 5) What trends do you foresee in AI adoption in the financial services over the coming years, and how do these trends make you feel?		
5:00-5:05pm – 📣 Closing Remarks		
5:05-6:00pm – 🥂 Networking Drinks Reception		