# GLOBAL REGTECH SUMMIT | USA

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

| Stage A | Stage B | Stage C |
|---|---|---|
| **8:00-9:00am – Networking Breakfast** | | |
| **9:00-9:10am – Welcome to the Global RegTech Summit USA**<br><br>**Speaker:** Aaron Sohdi, Director, FinTech Global | | |
| **9:10-10:00am – Keynote Panel Discussion: The Organizational Outlook for RegTech**<br><br>1) What are the most pressing organizational challenges when it comes to executing a successful compliance program in the landscape of today?<br>2) When it comes to RegTech, how do firms approach engagement with technology – whether it is in-house or through third-party providers?<br>3) 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?<br>4) 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?<br><br>**Moderator:**<br>Jen Tumminello, Executive Director, Morgan Stanley<br><br>**Speakers:**<br>Sabeena Liconte, Head of Legal & Chief Compliance Officer – Americas, ICBC Standard Bank Group<br>Noreen Fierro, Enterprise Chief Ethics & Compliance Officer, Principal Financial Group<br>Suprio Chaudhuri, Chief Compliance Officer – Americas, Natixis CIB Americas<br>Howard Wynn, Chief Compliance Officer, Mizuho Americas | | |
| **10:00-10:20am – Keynote Presentation: AI in GRC and GRC in AI**<br><br>**Speaker:** Heather Gentile,  Director of Product, watsonx.governance, IBM<br><br>*Join us at the RegTech Summit, where Heather Gentile, Director of Product, watsonx.governance at IBM, will explore the intersection of Artificial Intelligence (AI) and Governance, Risk Management, and Compliance (GRC). In this session, we'll delve into the rapidly evolving landscape of AI and its implications for GRC, as well as the role GRC plays in ensuring the responsible development and deployment of AI.* | | |

| | | |
|---|---|---|
| *Learn about the current state of AI adoption in GRC and the benefits it brings*<br><br>*Discover the risks and complexities associated with AI and why governance is a critical part of operationalizing AI, managing AI risks, and ensuring compliance*<br><br>*Get insights on innovative solutions and case studies for integrating AI into GRC processes and how ethics and governance intersect to drive responsible AI* | | |
| **10:20-10:40am – Keynote Presentation - Archer Assurance AI: Solving the Control alignment puzzle**<br><br>**Speaker:** Kayvan Alikhani, VP of Product Management, Archer | | |
| **10:40-11:20am – AM Networking Break** | | |
| **11:20-12:05pm – Panel Discussion – Navigating Regulatory Change Management in 2024: Challenges, Agility, and Innovation**<br><br>1) What is the magnitude of regulatory changes impacting the financial services in 2024?<br>2) How agile are financial institutions in managing regulatory changes effectively? What are the toughest challenges faced?<br>3) What technologies hold the most potential for transforming regulatory change management (RCM)?<br>4) What requirements do firms need to consider when implementing technology into RCM activities?<br>5) How far away is the industry from implementing concrete predictive capabilities in regulatory change management?<br><br>**Moderator:**<br>Michael Rasmussen, GRC Analyst and Pundit, GRC 20/20 Research & GRC Report<br><br>**Speakers:**<br>Hillary Rosenberg, Chief Compliance Officer and Head of Regulatory Relations, Valley National Bank<br>Anand Narayanan, Head of Regulatory Change Management, Americas Division, SMBC Corporation<br>Kevin Medina, Global Chief Compliance Officer, Värde Partners<br>Kayvan Alikhani, VP of Product Management, Archer | **11:20-12:05pm – Panel Discussion: What Constitutes a Modern and Comprehensive Communications Surveillance Strategy?**<br><br>1) What market dynamics are impacting the need for enhanced communications surveillance in 2024?<br>2) What are some examples of successful surveillance strategies that have effectively prevented or detected financial misconduct?<br>3) What are some examples of recent failures and what lessons can be drawn from them?<br>4) What tools are available for organizations to better gain a holistic view of all activity?<br>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?<br><br>**Moderator:**<br>George Stein, Director, Compliance & Operational Risk Manager, Surveillance Strategy F&O, Bank of America<br><br>**Speakers:**<br>Fahreen Kurji, Chief Customer Intelligent Officer, Behavox<br>Srini Masanam, Global Head of Surveillance Data Quality, Citi<br>Jeffrey Loeb, Global Head of Communications Surveillance & Americas Head of Surveillance, Deutsche Bank | **11:20-12:50pm –** 👨‍💼👩‍💼<br>**Product Demos Part 1** |
| **12:05-12:50pm – Panel Discussion: A Closer Look at AML & FinCrime in the RegTech Context**<br><br>1) What are the largest financial crime threats, occupying the minds of FCC teams today? | **12:05-12:50pm – Panel Discussion: Developing a Robust and Agile Risk Management Framework**<br><br>1) What risks are financial institutions highlighting as most prominent as we reflect on 2024 thus far? | |

| | | |
|---|---|---|
| 2) What challenges are teams facing when it comes to the onboarding and monitoring of clients?<br>3) How can firms prioritize a premium customer experience with the stringent requirements of AML and KYC regulations?<br>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?<br>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?<br><br>**Moderator:**<br>Erika Alders, Head of U.S. Regulatory Legal, State Street<br><br>**Speakers:**<br>Sabrina Chen, Head of Global AML Customer Risk, Citi<br>Daniel Auciello, Chief BSA Officer and Head of Financial Crime Compliance, Bank of China<br>Elizabeth Owen, SVP - AML & Fraud Prevention, Berkshire Bank<br>Ajit Tharaken, Chief Executive Officer, Consilient | 2) What proactive steps can be taken now to prepare for future market disruptions or disasters?<br>3) In what ways can technology play into streamlining risk management processes?<br>4) What place are AI and ML having on risk management strategies?<br>5) What best practices should be followed to integrate risk management into the daily operations of financial institutions?<br>6) How can firms promote a risk-aware culture throughout organizations?<br><br>**Moderator:**<br>Bianca Wallace, U.S. Chief Risk Officer, The Norinchukin Bank<br><br>**Speakers:**<br>Gladys Griffiths, Head of Risk, Finance, Markets, Technology Audit, State Street<br>Chris Berk, Director Strategic Enterprise Accounts, Telesign | |
| **12:50-2:00pm – Networking Lunch** | | |
| **2:00-2:40pm – Panel Discussion – Smart Strategies to Compliant Onboarding – Are You Servicing Your AML, KYC, & CDD Needs Effectively?**<br><br>1) What are the largest pressures facing firms when it comes to implementing effective AML & KYC compliance during customer onboarding?<br>2) What strategies & tools can firms employ to prioritise client experience?<br>3) What opportunities does the use of AI and machine learning during onboarding present and what should firms think about when implementing these technologies?<br>4) How are firms handling the volume of data required for effective and comprehensive screening during onboarding?<br>5) How should firms answer the call from regulators for enhanced identification of UBOs during the CDD process?<br>6) What challenges remain with the ongoing monitoring of clients?<br><br>**Moderator:**<br>Elizabeth Owen, SVP - AML & Fraud Prevention, Berkshire Bank<br><br>**Speakers:**<br>Leo Dandes, Senior VP Financial Crime Wholesale and WPB, HSBC<br>Damian Tran, Co-founder & CTO, Minerva<br>Kevin Gormley, Head of Financial Crime Compliance, Stash | **2:00-2:40pm – Roundtables Session 1**<br><br>Roundtable 1: Leveraging AI and Data in Market Surveillance<br><br>**Host:** Justin Gallo, Head of Market Abuse Surveillance, Northern Trust<br><br>Roundtable 2: Developing and Improving Compliance Programs in a Shifting Regulatory Landscape<br><br>**Host:** Pamela Salazar, Risk & Compliance Director, Jiko<br><br>Roundtable 3: Taming the Regulatory Information Tidal Wave<br><br>Host: Robb Verna / Sr. Director of Marketing / Ascent Technologies | **2:00-3.40pm –** 👨‍💼👩‍💼 **Product Demos – Part 2** |
| **2:40-3:00pm – Presentation: Building Trust in AI: Compliance, Security, and Privacy Challenges in Financial Services**<br><br>**Speaker:** Bhagvan Kommadi, Chief Information Officer, Capri Global Capital | | |

| | | |
|---|---|---|
| **3:00-3:40pm – Panel Discussion: Maintaining a Focus on Data Quality and Accuracy in Regulatory Reporting**<br><br>1) What best practices should be adopted for managing data to meet the elevated standards required for regulatory reporting?<br>2) What steps can institutions take to maintain data integrity and consistency across various reporting frameworks?<br>3) How can technology solutions like AI and machine learning contribute to improving data quality and accuracy in reports?<br>4) What methods can financial institutions use to tackle the challenges of ensuring report completeness and timeliness given the growing volumes of data?<br>5) What strategies can be employed to guarantee that no critical data is missed or incorrectly reported?<br><br>**Moderator:**<br>Michael Rasmussen, GRC Analyst and Pundit, GRC 20/20 Research & GRC Report<br><br>**Speakers:**<br>Dhiman Raha, Head of North America Change Management – Financial Regulatory Reporting, BNY Mellon<br>Sateesh Kumar Challa, Head of Digital Transformation Office, Societe Generale<br>Peter Jacobs, Head of Financial Investigations Unit, DNB Bank | **3:00-3.40pm – Roundtables Session 2**<br><br>Roundtable 4: Innovative Approaches in Financial Crime Programs: Emerging Trends and Strategies<br><br>**Host:** Michael Wegh, Director, Financial Crime and Analytics, KPMG<br><br>Roundtable 5: Overcoming Integration Challenges in KYC/CIP Tools: Strategies for Success<br><br>**Host:** Enton Nikaj, Vice President, 3rd Party Governance, Synchrony Bank<br><br>Roundtable 6: End-to-End Change Management in Transaction Monitoring<br><br>**Host:** Shloka Ananthanarayanan, Director, Group AML Risk, Standard Chartered Bank | |
| **3:40-4:00pm – PM Networking Break** | | |
| **4:05-4:20pm – Presentation: The Trade Surveillance Technology for Tomorrow** | | |
| **4:20-5:00pm – Panel Discussion: Beyond the Hype – Practical Use-Cases for AI in Regulatory Compliance**<br><br>1. Which compliance tasks are experiencing the most significant transformation due to AI and ML advancements?<br>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?<br>3. What strategies do you use for selecting and integrating new AI tools into your current systems and workflows?<br>4. What is the importance of human oversight in the implementation and use of AI?<br>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?<br><br>**Moderator:**<br>Sudhir Kaloth, Sr. Director, Oppenheimer & Co. Inc.<br><br>**Speakers:**<br>Rob Wilcox, Chief Compliance Officer, First National Bank of Omaha<br>Sateesh Kumar Challa, Head of Digital Transformation Office, Societe Generale<br>Madison Gooch, Vice President, Watsonx, Americas, IBM | | |
| **5:00-5:05pm – Closing Remarks** | | |
| **5:05-6:00pm – Networking Drinks Reception** | | |