



The Independent Bankers Association of NYS presents the

2020 Community Bank Regulatory Compliance Conference



January 28, 2020

Pryor Cashman LLP
7 Times Square, 40th Fl.
New York, NY 10036

7.0
CPE Credits*

overview

Compliance is one of the most crucial and consuming issues in the financial industry today. The regulatory agencies encourage all banks to have a comprehensive and well managed compliance program. Compliance officers are responsible for developing and maintaining a bank wide compliance program that includes monitoring and training.

This conference will offer insight and instruction from regulatory agencies and subject matter experts on developing and maintaining a solid compliance program.

Attend the Compliance Conference to hear about important topics for 2020 and have the opportunity to network with banking colleagues.



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212-421-4100



who should attend

AUDITORS
COMPLIANCE OFFICERS
BSA OFFICERS
RISK/FRAUD OFFICERS
INSIDE/OUTSIDE COUNSEL
OPERATIONS OFFICERS

Earn up to 7.0 CPE credits.

*IBANYS has been authorized by the NYS Department of Education to award continuing profession education (CPE) credits.

STAY CONNECTED



agenda



8:30-9:00 am

REGISTRATION AND CONTINENTAL BREAKFAST

9:00-9:10 am

Opening Remarks & Introduction

9:10-10:00 am

Having an Effective Compliance Culture and How to Get There

Justin Muscolino, Head of North American Compliance Training, GRC Solutions, Pty.

10:00-10:50 am

2019 Enforcement Actions: Lessons and Predictions for 2020

Jeffrey Alberts, Partner, Pryor Cashman, LLP – Chairman of Pryor Cashman’s White Collar Defense & Co-Chair of Pryor Cashman’s Financial Institutions Group

Mr. Alberts will summarize enforcement actions brought against financial institutions and their officers and directors in 2019 and discuss what trends in the patterns of recent enforcement actions reveal about regulatory priorities going into 2020. He also will discuss the FDIC’s new Formal and Informal Enforcement Actions Manual, which the FDIC published for the first time in December 2019.

10:50-11:00 am

Refreshment/Networking Break

11:00-11:50 am

FDIC Update

Frank Hughes, Regional Director NYC, FDIC

2019 year in review and a look ahead to 2020.

11:50-12:30 pm

LUNCH

12:30-1:20 pm

Cybersecurity

Ryan Spelman, Sr. Manager, CyberClarity 360

1:20-2:10 pm

OCC Update (Invited)

Speaker TBD

2019 year in review and a look ahead to 2020.

2:00-2:20 pm

Refreshment Break/Networking Opportunity

2:20-3:10 pm

DFS Update

Yolanda Ford, Deputy Superintendent and Brian Montgomery, Deputy Superintendent, Consumer Examinations Unit, New York State Department of Financial Services

2019 year in review and a look ahead to 2020. Innovation and the taskforce/committee.

3:10-4:00 pm

Panel Discussion With Regulators

Moderator: Justin Muscolino, GRC Solutions

#1 Topic: BSA/AML

What should we look to improve internally for BSA/AML in preparation for an examination? **OCC**

What are examiners looking for with similar institutions? **DFS**

What are some issues you’ve found over the past year? **FDIC**

#2 Topic: Fair Lending

What should we look to improve internally for BSA/AML in preparation for an examination? **FDIC**

What are examiners looking for with similar institutions? **OCC**

What are some issues you’ve found over the past year? **DFS**

REGISTRATION FORM

Community Bank Regulatory Compliance Conference



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JANUARY 28, 2020
Pryor Cashman LLP
7 Times Square, 40th Fl., New York, NY 10036
212-421-4100

**REGISTRATION DEADLINE:
FRIDAY,
JAN. 24, 2020***

CoBank/Organization _____

Address _____

City/State/Zip _____

Phone _____ Fax _____

Attendee Name _____

Title _____ Email _____

Attendee Name _____

Title _____ Email _____

Attendee Name _____

Title _____ Email _____



COST
Member: \$275 per person
Non-Member: \$325 per person

PAYMENT

My check is enclosed \$ _____ Make checks payable to IBANYS

Charge \$ _____ to MasterCard Visa Amex

Credit card # _____ Exp. date _____ CVV# (Amex on front of card) _____

Print card name _____

Credit card address (if different than above) _____

Signature _____

*No refunds given after this date.