



Association of International Bank Audit and Compliance Professionals Inc.

September 30, 2020 Webinar: Strategies for Surviving an Offsite Regulatory Examination

Wednesday, September 30, 2020
1:30 p.m. – 2:30 p.m.

In association with

K2 Intelligence
Investigations • Compliance Solutions • Cyber Defense



FINANCIAL
INTEGRITY
NETWORK

AGENDA

AIBACP and K2-FIN Webinar: Strategies for Surviving an Offsite Regulatory Examination

In response to the COVID-19 pandemic, regulators have shifted the examination process offsite, putting the advantages and restrictions of virtual exams to the test. Although regulators have long considered ways to digitize the process, and the electronic exchange of data has been considered standard practice, COVID-19 inevitably imposed new challenges and some potential benefits.

In this webinar, moderator Koby Bambilia will call upon the panel of experts to share their insights and thoughts on how to manage offsite regulatory exams. Beverly Jules, Joseph Loffredo, and Edwin Rivas will discuss their experiences with offsite exams, the changes to the process, the challenges faced, and the trends coming out of the current environment, that they expect will extend beyond the pandemic.

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| 1:30 - 1:35 p.m. | Welcome
Michele M. Fleming, Chair, AIBACP |
| 1:35 - 2:20 p.m. | Webinar
Moderator Koby Bambilia will call upon the panel of experts to share their insights and thoughts on how to manage offsite regulatory exams. |
| 2:20 – 2:30 p.m. | Q&A |

Moderator:



Koby Bambilia

Managing Director, K2 Intelligence Financial Integrity Network

Koby Bambilia is a managing director in K2 Intelligence Financial Integrity Network's Financial Crimes Risk and Compliance practice, based in New York. With more than 15 years of global experience with complex Bank Secrecy Act (BSA)/Anti-Money Laundering (AML) compliance, sanction program, and regulatory enforcement action matters, Koby helps financial institutions meet the challenges of complying with BSA regulations, OFAC, and the USA PATRIOT Act, and assists those facing regulatory enforcement actions. Koby helps financial institutions adhere to regulatory consent orders that mandate review and enhancement of their AML compliance, BSA, OFAC, and sanctions policies and procedures; implement remedial actions; and comply with consent orders that mandate transaction monitoring lookbacks. He assesses institutions' BSA/AML and sanctions compliance programs, including Know Your Customer (KYC), customer due diligence (CDD)/enhanced due diligence (EDD), customer risk rating and customer identification program (CIP) regulations; mandatory BSA reporting; sanctions programs; and transaction monitoring, and helps design programs to increase compliance.

Speakers:



Beverly Jules

Examining Officer, Federal Reserve Bank of New York

Beverly is an officer and head of the Compliance Risk Team within the Large Foreign Banking Organization (LFBO) Function's Risk and Analysis Department. Since 2005, she has been responsible for assessing the Bank Secrecy Act/AML compliance program of financial institutions as a member of SG's Anti-Money Laundering (AML) Unit. Her responsibilities also include assessing corporate compliance programs and monitoring compliance with enforcement actions. She has served as an instructor in SG's training programs and AML seminars offered through the Federal Reserve's International Training

and Technical Assistance Program. In addition, she has been a panelist in industry conferences.

Beverly joined the Bank in 1992 as a specialist in operations, accounting and audit. Prior to joining the Bank, she was an internal auditor at Chase Manhattan Bank for 6 years.

Beverly, a Certified Public Accountant, holds a B.S. degree in Accounting from Marymount Manhattan College and an MBA in Finance and Information Systems from New York University.



Joseph Loffredo

Deputy General Manager and Chief Financial Officer, China Merchants Bank

Joe Loffredo is Deputy General Manager and Chief Financial Officer of China Merchants Bank, New York Branch, overseeing the Finance & Accounting, Operations and Legal & Compliance functions. Joe has been with CMBNY since the branch's inception in October 2008. Prior to joining CMBNY, Joe was Chief Financial Officer for US Operations for State Bank of India, from 2002 to 2008. Joe started his career at Peat, Marwick, Mitchell & Co., and is a licensed CPA, and has also worked for Republic National Bank, Banco Safra, Banque Nationale de Paris, and Nordea and its predecessor banks. Joe received his BA from Binghamton University and his MS in Accountancy from New York University.



Edwin Rivas

Chief Compliance Officer, Landesbank Hessen-Thüringen (Helaba)

Edwin Rivas is the New York's Chief Compliance Officer for Helaba (Landesbank Hessen-Thüringen) and he has an extensive experience working in anti-money laundering, regulatory compliance and internal audit, with strong international and domestic experience in financial services. He has appeared on news television discussing the impact of the USA PATRIOT Act requirements, and he has also conducted regulatory compliance training presentations in the USA, Latin America and Europe.

Mr. Rivas partnered with AIBACP (Association of International Auditors and Compliance Professionals Officers) colleagues and professors at Pace University / Lubin School of Business and actively participated as a member in the Content/Curriculum Committee that developed the curriculum (three-courses) in 2011 for the Certificate of Regulatory Compliance Professional (CCRP) program launched by Pace in January 2012. Mr. Rivas also lectures at Pace in some of these courses as a Subject Matter Expert.

Mr. Rivas is a Certified Compliance Regulatory Professional (CCRP), Certified Regulatory Compliance Manager (CRCM), a Certified Anti-Money Laundering Specialist (CAMS) an Anti-Money Laundering Professional (AML), Certified Financial Services Auditor (CFSA) and a Certified Risk Management Assurance (CRMA); and a member of the Institute of Internal Auditors, the Institute of Certified Bankers, the Association of Certified Anti-Money Laundering Specialist, the BAI (Bank Administration Institute) and the AIBA (Association of International Bank Auditors); and a Board member of the AIBA.

CPE Credit

1 CPE Credit will be awarded for attending the **live webinar** presentation.

AIBACP Members must register for and attend the live webinar to earn CPE credit

Please register by clicking the "Register here" button on Page one.

A recording of this webinar will be posted on the AIBACP and K2 Intelligence websites

No CPE credit will be awarded for viewing the recording.

Questions?

Please email Rose Napoli at rosenapoli23@gmail.com.