

AIBAC^{CP}



Association of International Bank Audit and Compliance Professionals Inc.

December 10, 2020 Webinar: Mitigating Operational Risk: Key Concepts & Best Practices

Thursday, December 10, 2020
1:30 p.m. – 2:30 p.m.

In association with

K2 Integrity

AGENDA

AIBACP and K2 Integrity Webinar: Mitigating Operational Risk: Key Concepts & Best Practices

Regulators have defined operational risk as, "The risk of loss resulting from inadequate or failed internal processes, people and systems, or external events." While this risk category seems so basic, its occurrence is prevalent in our business world today, and companies have encountered significant resultant losses.

In this webinar, moderator Gail Fuller will call upon Robert J. (Bob) Chersi to share the key concepts underlying operational risk, best practices for professionals to mitigate this risk, and the state of operational risk implementations in the financial services industry.

1:30 - 1:35 p.m. **Welcome**
Michele M. Fleming, Chair, AIBACP, Chief Compliance Officer, CLS Group

1:35 - 2:20 p.m. **Webinar**
Gail Fuller to call upon Robert J. Chersi to share the key concepts underlying operational risk.

2:20 – 2:30 p.m. **Q&A**

Moderator:



Gail Fuller
Managing Director, K2 Integrity

Gail Fuller is a managing director at K2 Integrity. She leads teams providing advisory support to a wide variety of clients—including foreign governments, financial institutions, and FinTech firms—helping them navigate complex challenges related to compliance with Anti-Money Laundering/Combating the Financing of Terrorism (AML/CFT) regulations, U.S. and international sanctions, and anti-bribery and corruption (ABC) laws. She provides training to both public and private sector clients to help them keep pace with and translate into practice the rising expectations of global standard setters such as the Financial Action Task Force (FATF). Gail also partners with clients to design and implement AML/CFT, sanctions, and ABC risk assessments that help them measure and mitigate their exposure to risk, and to conduct gap analyses that inform their efforts to evaluate and enhance their current compliance regimes.

Speaker:



Robert J. Chersi
Executive Director for the Center for Global Governance, Reporting and Regulation, Lubin School of Business, Pace University

Robert J. (Bob) Chersi is the Executive Director of the Pace University Lubin School of Business Center for Global Governance, Reporting & Regulation, and an adjunct professor in the Pace Lubin Department of Finance & Economics. Bob serves as an instructor in the CCRP Program, along with a cohort of other instructors drawn from both Pace professors as well as Industry Subject Matter Experts.

Prior to his above roles at Pace, Bob's thirty plus year professional business career included senior corporate executive roles including Member of the Executive Committee and CFO – Financial Services of Fidelity Investments, and Member of the Group Managing Board of UBS AG and CFO of UBS U.S. Wealth Management / Deputy CFO of Global Wealth Management. He has also served as a Panelist for the New York Stock Exchange's Hearing Board.

Bob also currently serves on the Board of Directors of E*TRADE (NASDAQ: EFTC), and as Board Member and Chairman of the Audit Committee of the BrightSphereInvestment Group (NYSE: BSIG) and of the Thrivent Family of Mutual Funds.

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 Integrity websites

No CPE credit will be awarded for viewing the recording.

Questions?

Please email Rose Napoli at rosenapoli23@gmail.com.