

2017

Risk Management CONFERENCE

Balboa Bay Resort | Newport Beach, CA



SEPTEMBER 13-15, 2017



2017

Risk Management CONFERENCE

The California Bankers Association's new **Risk Management Conference** reflects a focus on enterprise risk management, cybersecurity, fraud and data risk updates and briefings. Best practices will inform attendees on timely topics and provide practical solutions.

Who Should Attend

Anyone who deals with with enterprise risk management, cybersecurity, fraud, and data risk should attend this event, including:

- Risk officers
- Compliance officers
- Security officers
- Operations officers
- IT/IS managers
- Law enforcement

Conference Committee

- John Coleman, Grandpoint Bank
- Jeff Dalton, Bank of Marin
- Irina Douzadjian, Manufacturers Bank
- David Thomas, Luther Burbank Savings

Program At-A-Glance (subject to change)

Wednesday, September 13, 2017

8:30 a.m. – 5:30 p.m.	Registration Open
9:00 a.m. – 10:00 a.m.	Breakfast
10:00 a.m. – 10:10 a.m.	Conference Welcome and Introduction
10:10 a.m. – 11:25 a.m.	GENERAL SESSION A Vision for Your Bank <i>Trent Fleming CEO, Trent Fleming Consulting</i>
11:35 a.m. – 12:35 p.m.	GENERAL SESSION E is for Exposure: Appendix E & Controlling Mobile Services Risk <i>Michael Berman CEO, Ncontracts</i>
12:40 p.m. – 1:55 p.m.	Lunch and Networking
1:55 p.m. – 3:00 p.m.	GENERAL SESSION TBD
3:00 p.m. – 3:15 p.m.	Refreshment Break
3:15 p.m. – 4:15 p.m.	GENERAL SESSION Designing an Effective Business Continuity Plan Testing Program <i>Tracy Hall, MBPC IT Assurance Manager, Wolf & Company</i>
5:30 p.m. – 9:00 p.m.	Welcome Reception and Dinner Cruise Co-Sponsored by Verafin and WolfPAC (Boarding at 5:30 p.m. and departure at 5:45 p.m.)

Thursday, September 14, 2017

7:30 a.m. – 5:30 p.m.	Registration Open
8:00 a.m. – 9:00 a.m.	Breakfast Showcase – Top Effective Cybersecurity Controls Sponsored by TraceSecurity
9:00 a.m. – 10:00 a.m.	GENERAL SESSION Artificial Intelligence in Risk Management <i>Berkeley Research Group</i>
10:00 a.m. – 10:15 a.m.	Refreshment Break

10:15 a.m. – 11:15 a.m.

CONCURRENT SESSIONS SERIES I

1. Cybersecurity & Vendor Management: Don't Put Your Institution Next in Line for a Cyber Attack

Michael Berman | CEO, Ncontracts

2. Dodd-Frank Update

Berkeley Research Group

11:20 a.m. – 12:20 p.m.

GENERAL SESSION

Aligning ERM Governance with Risk App Statements

Michael Cohn, CPA, CISA, CGEIT | Director, WolfPAC Solutions

12:20 p.m. – 1:30 p.m.

Lunch and Networking

1:35 p.m. – 2:35 p.m.

CONCURRENT SESSIONS SERIES II (SERIES I REPEATS)

1. Cybersecurity & Vendor Management: Don't Put Your Institution Next in Line for a Cyber Attack

Michael Berman | CEO, Ncontracts

2. Dodd-Frank Update

Berkeley Research Group

2:35 p.m. – 2:50 p.m.

Refreshment Break

2:50 p.m. - 3:50 p.m.

GENERAL SESSION

Regulatory Update

Regulator Panel

4:00 p.m. – 5:30 p.m.

Reception

Friday, September 15, 2017

7:30 a.m. – 11:30 a.m.

Registration Open

8:00 a.m. – 9:00 a.m.

Breakfast

9:00 a.m. – 10:00 a.m.

GENERAL SESSION

TBD

10:00 a.m. – 10:15 a.m.

Break

10:15 a.m. – 11:15 a.m.

GENERAL SESSION

Cybersecurity Trends

Jensen Penalosa, Special Agent

Federal Bureau of Investigation – Cyber Squad

11:15 a.m.

Conference Adjourns

Session Descriptions

A Vision for Your Bank

Trent Fleming | CEO, Trent Fleming Consulting

While the day-to-day pressures of managing balance sheets and regulatory requirements seem overwhelming, smart banks sense that the weight of competitive pressures make it even more important to develop and execute on strategies that will ensure their success. This session will look at emerging trends in banking products and services, and provide keen insight into developing the infrastructure, tools, and staff needed to deliver them successfully.

E is for Exposure: Appendix E & Controlling Mobile Services Risk

Michael Berman | CEO, Ncontracts

Financial institutions don't have complete control of the mobile channel. App developers, mobile network operators, device manufacturers, specialized security firms and other non-financial third-party providers all play a role making risk management critical.

This session will guide you through the FFIEC's Appendix E: Mobile Financial Services to help you (1) Recognize the role third-party providers play in mobile financial services, (2) Devise strategies to identify, measure and mitigate the risks presented by the mobile channel, (3) Discover the role contracts play in mitigating third-party risk, (4) Address compliance and reputation risk, and (5) Understand the importance of the board and management in enterprise-wide risk management.

Designing an Effective Business Continuity Plan Testing Program

Tracy Hall, MBPC | IT Assurance Manager, Wolf & Company

There is often confusion as to how to develop a multi-year business continuity plan testing program. Financial institutions are overwhelmed with putting a program in place. Using your Business Impact Analysis (BIA) can define what the testing program should be without adding unnecessary complexity and negatively impacting efficiency. Attendees of this presentation will learn:

- How to use your BIA to inform your multi-year BCP testing plan
- What components should be included and what could be left out
- Where to start to get the most effective and manageable program
- How to satisfy requirements for incorporating risk assessment results into your test plan





Top Effective Cybersecurity Controls

Chris Akenson, CISSP | TraceSecurity

This session will review priority cybersecurity technical controls and will explain why they are effective in reducing cybersecurity threats.

Cybersecurity & Vendor Management: Don't Put Your Institution Next in Line for a Cyber Attack

Michael Berman | CEO, Ncontracts

With higher regulatory expectations regarding cybersecurity and vendor management, banks have more risks to manage than ever before. This session will discuss the impact of breaches on financial institutions along with regulatory mandates that hold your executive and board responsible for your vendors' cybersecurity and disaster recovery resiliency. This session will also touch on the requirements of the FFIEC's Cybersecurity Assessment Tool and provided information on how the FFIEC, OCC, FDIC and Fed mandates overlap regarding vendor management

Aligning ERM Governance with Risk App Statements

Michael Cohn, CPA, CISA, CGEIT | Director, WolfPAC Solutions

Select your asset category and dig deep into the elements of a successful enterprise risk management governance structure as it aligns with your risk appetite statement. Hear leading practices surrounding risk ownership, accountabilities, controls, measuring, monitoring and reporting. In addition, you will walk away from this deep dive knowing the difference between risk appetite and risk tolerance.

General Information

The 2017 Risk Management Conference will be held at the Balboa Bay Resort in Newport Beach. Registration will open at 8:00 a.m. on Wednesday, September 13. The program will adjourn by 11:15 a.m. on Friday, September 15.

REGISTRATION FEES:

Early-Bird by August 25, 2017

- CBA Member Bank \$ 795
- CBA Affiliate Member \$ 1,400
- Non-Member Bank \$ 1,345
- Spouse \$ 395

After August 25, 2017

- CBA Member Bank \$ 995
- CBA Affiliate Member \$ 1,400
- Non-Member Bank \$ 1,345
- Spouse \$ 395

CANCELLATION POLICY

Substitutions are allowed, at no additional cost. Written notice is required for all substitutions/cancellations. The full registration fee will be refunded if written notice is received by August 16, 2017, and 50 percent if by August 25. No refunds will be provided after August 25. Registrations made on or after August 25 are not subject to refund.

Sponsor Opportunities

If you are interested in sponsoring or would like more information, please contact Rosemary Mignano at rmignano@calbankers.com or (916) 438-4435.

Why Sponsor

- Maximize your company's brand awareness and increase your market position
- Gain direct access to CBA member banks and institutions in an exclusive environment
- Raise your profile above your competitors
- Learn about the issues confronting today's financial service leaders and gain valuable insight into potential solutions
- Match your exposure needs, regardless of budget
- Shape or reinforce a positive perception of your company with California's bank executives
- Support the California Bankers Association, the largest non-profit banking organization serving the California financial services industry

LODGING

Balboa Bay Resort
1221 W. Coast Highway | Newport Beach, CA 92663
Phone: (949) 645-5000

Hotel accommodations can be made online at www.balboabayresort.com with promo code cba0917. The CBA rate is \$239, single or double occupancy, plus taxes and fees. Rooms are limited; please make your reservations by Sunday, August 13, 2017. If the CBA room block reaches capacity before this date, the hotel may accept reservations on a space-available basis at the prevailing rates.

Hotel check-in time is 4:00 p.m. and check-out time is 12:00 noon.

TRAVEL INFORMATION

The Balboa Bay Resort is 20 minutes from Orange County airport. Check your preferred airline for flights to Orange County.

PARKING

Valet parking is \$25 overnight or \$15 per day. Self-parking is available at adjacent parking structures.

Thank You 2017 Sponsors

Thank you to our 2017 Risk Management Conference sponsors, including:

- Moss Adams*
- TraceSecurity
- Vantage Security Consulting
- Verafin**
- WolfPAC**

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