



|          | Monday May 14  | Tuesday May 15   | Wednesday May 16  | Thursday May 17   |
|----------|--|--|---|---|
| 8:00 AM  | <b>Registration &amp; Breakfast</b><br>8:00 - 9:00 AM  |  |   |   |
| 8:15 AM  |  |  |   |   |
| 8:30 AM  |  | <b>Breakfast</b><br>8:30 - 9:00 AM   | <b>Breakfast</b><br>8:30 - 9:00 AM  | <b>Breakfast</b><br>8:30 - 9:00 AM                              |
| 8:45 AM  |  |  |   |   |
| 9:00 AM  | <b>Welcome Remarks</b><br><b>Joshua Rosenberg &amp; Clive Blackwood</b><br>9:00 - 9:45 AM                                | <b>Risk Frameworks</b><br><b>Bard Stermasi</b><br>9:00 - 10:15   | <b>Overview of Internal Audit</b><br><b>Third Line of Defense</b><br>9:00 - 10:15 | <b>Auditing Projects</b><br>9:00 - 10:15                        |
| 9:15 AM  | <b>Overview of the Federal Reserve Bank of New York</b><br><b>Graham Long</b><br>9:45 - 10:45                            |  |   |   |
| 9:30 AM  |  | <i>Break (10:15 - 10:30)</i>   | <i>Break (10:15 - 10:30)</i>  | <i>Break (10:15 - 10:30)</i>                                    |
| 9:45 AM  |  | <b>Anti-Money Laundering Risk</b><br><b>Ed Silva</b><br>10:30 - 11:15  | <b>Audit Process/Risk Assessment</b><br>10:30 - 12:00                             | <b>Increasing Visibility of Internal Audit</b><br>10:30 - 12:00 |
| 10:00 AM |  | <b>Engagement Model Between 1st and 2nd Line of Defense</b><br><b>Lessa Gomez - Facilitator</b><br><b>R Lu/N Benedetto/E Silva/P Becker/T Breen - Panel</b><br>11:15 - 12:00 |   |   |
| 10:15 AM |  |  |   |   |
| 10:30 AM |  |  |   |   |
| 10:45 AM | <i>Break (10:45 - 11:00 AM)</i>  |  |   |   |
| 11:00 AM | <b>Overview of Risk Management</b><br><b>Bard Stermasi/Rita Csejtey/David Canter-McMillan</b><br>11:00 - 12:00           |  |   |   |
| 11:15 AM |  |  |   |   |
| 11:30 AM |  |  |   |   |
| 11:45 AM |  |  |   |   |
| 12:00 PM | <b>Lunch</b><br><b>Gold Vault/Museum Tour</b><br><b>Group 1</b><br>12:00 - 1:30  | <b>Lunch</b><br><b>Gold Vault/Museum Tour</b><br><b>Group 2</b><br>12:00 - 1:30  | <b>Lunch</b><br><b>Gold Vault/Museum Tour</b><br><b>Group 3</b><br>12:00 - 1:30   | <b>Liberty Room Luncheon</b><br>12:00 - 1:30                    |
| 12:15 PM |  |  |   |   |
| 12:30 PM |  |  |   |   |
| 12:45 PM |  |  |   |   |
| 1:00 PM  |  |  |   |   |
| 1:15 PM  |  |  |   |   |
| 1:30 PM  | <b>Managing Risk in the 1st Line</b><br><b>Markets</b><br><b>Tom Breen</b><br>1:30 - 2:30                                | <b>Risk Culture</b><br><b>David Stein</b><br>1:30 - 2:30   | <b>Audit Hot Topic A</b><br>1:30 - 2:45<br><b>Auditorium</b>                      | <b>Audit Hot Topic B</b><br>1:30 - 2:45<br><b>RM 13-34</b>      |
| 1:45 PM  |  |  |   | <b>Audit Panel Q&amp;A</b><br>1:30 - 2:15                       |
| 2:00 PM  |  |  |   | <b>Wrap Up &amp; Certificates Awarded</b><br>2:15 - 3:00        |
| 2:15 PM  | <b>Hot Topic A</b><br><b>Trading Compliance</b><br><b>Pinchas Becker/Janet Hawkins</b><br>2:30-3:45<br><b>Auditorium</b> | <b>Information Security</b><br><b>Jia Ye/Eugene Tawiah</b><br>2:30 - 3:30 PM   | <b>Audit Considerations for Cyber Security</b><br>2:45 - 3:45                     |   |
| 2:30 PM  | <b>Hot Topic B</b><br><b>Financial Risk Practice</b><br><b>L He/M Stawarz/S Alam</b><br>Rm 13-34<br>2:30-3:45            |  |   |   |
| 2:45 PM  |  | <i>Break (3:30 - 3:45)</i>   |   |   |
| 3:00 PM  |  |  |   |   |
| 3:15 PM  |  |  |   |   |
| 3:30 PM  |  |  |   |   |
| 3:45 PM  | <i>Break (3:45 - 4:00 PM)</i>  | <b>Risk Panel Q&amp;A</b><br><b>Moderator: David Stein</b><br>3:45 - 4:15  | <b>Risk Panel Q&amp;A</b><br><b>Moderator: Bard Stermasi</b><br>4:00 - 4:30       |   |
| 4:00 PM  |  |  | <b>Audit Panel Q&amp;A</b><br>4:00 - 4:30   |   |
| 4:15 PM  |  |  |   |   |
| 4:30 PM  |  |  |   |   |
| 4:45 PM  |  |  |   |   |
| 5:00 PM  | <b>Group Photo/Reception</b><br><b>1st Floor Liberty Room</b><br>4:30 - 6:30   |  |   |   |
| 5:15 PM  |  |  |   |   |
| 5:30 PM  |  |  |   |   |
| 5:45 PM  |  |  |   |   |
| 6:00 PM  |  |  |   |   |
| 6:15 PM  |  |  |   |   |
| 6:30 PM  |  |  |   |   |
| 6:45 PM  |  |  |   |   |