1. **Challenges & Purposes of Regulatory Reporting (9:00AM – 9:15AM)**  
Ken Lamar  
- An introduction to best practices for the regulatory reporting process, including its pitfalls and methods to mitigate risks.

2. **Current State: Challenges & Demands (9:15 – 9:30)**  
Ken Lamar  
- The challenges and demands of the current and future state of data collection.  
- Understanding the increasing demands of new data collections that are dynamic, complex, and require short time frames for implementation.

3. **High Quality Reference Data (9:30AM – 10:00AM)**  
Patricia Selvaggi  
- The importance of good reference data that is clearly defined, standardized, and continually validated across a firm.  
- Best practices for the General Ledger, including product and customer information (e.g., adequate account titles and definitions, and proper approval process for new or closed G/L accounts).

4. **Internal Controls & Internal Audit (10:00 – 10:20)**  
Diane Iacopelli  
- Understanding internal control principles, methods, and procedures to provide reasonable assurance for the accuracy of regulatory reports and effect on the overall reporting process.  
- The importance of Internal Audit’s involvement in the regulatory reporting process by providing continual comprehensive reviews and valuable feedback for regulatory reporting.

5. **Accountability & Quality Assurance (10:20 – 10:40)**  
Henry Castillo  
- Ensuring high quality data through accountability, proper training, tracking, and recertification of business lines. Understanding the concept of accountability, enforcement, data ownership, and corrective actions for information provided to regulatory reporting.  
- Developing a robust quality assurance process in conjunction with an effective data collection process.


7. **Data Infrastructure (10:55 – 11:15)**  
Anthony Guglielmo  
- Understanding information system controls and the alignment between business lines and enterprise wide data infrastructure.  
- Best practices to mitigate risks of system limitations, system interfaces, and legacy systems.

8. **Data Analysis (11:15 – 11:45)**  
Scott Smentek  
- Analysis of regulatory reporting and common reporting issues to improve the process and quality of underlying data.  
- Best practices of data analysis, including the reconciliation of regulatory data to external reporting (e.g., SEC filings), addressing differences in various accounting and valuation requirements (e.g., GAAP, IFRS, SEC, and BIS), and the proper analysis of data at the legal entity and business line level.

9. **Q & A Session (11:45 – 12:00)**  
Anthony Cirillo

10. **Closing Remarks (12:00 – 12:05)**

*Please note that times are approximate.*