

Financial Services Operational Risk & Compliance Forum

FORMING A UNITED, COMMERCIAL VISION OF
OPERATIONAL RISK & COMPLIANCE

Guy Harding, Chief Risk Officer - Business & Private Banking,
COMMONWEALTH BANK



Michelle Mott, Head of Risk Management & Change
- Group Operational Risk & Compliance, **WESTPAC**



Tim Kitching, Head of Risk Management, Advice and Marketing,
MLC & NAB WEALTH



Phil Carter FBCI, Head of Group Business
Continuity Management, **ANZ**



Catherine Crawford, Head of Compliance Australia,
STATE STREET GLOBAL ADVISORS



Monika Goyal, Head of Risk & Compliance,
AMP CAPITAL INVESTORS



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The global financial crisis has brought operational risk and compliance under the spotlight:



WHO'S NEXT?

Regulators the world over are scrutinising and penalising financial institutions more heavily than ever before. Fines in their millions are complemented by scathing headlines, plummeting customer confidence and even reputational ruin.

Failing to minimise and control operational risk has never been more costly - a cost which we must work to manage.

But responses go far deeper than simply reacting to regulators.

The global financial services industry has recognised that a new approach to operational risk and compliance must be taken if companies are to meet today's challenges:

- **Better alignment with overall business strategy**
- **Effective collaboration across all business units**
- **Institutionalised measuring, monitoring and reporting**

The days of box ticking and figure flicking are gone. The discipline has been thrown open to innovation, and we must now demonstrate our role in achieving:

- **Higher commercial performance**
- **Sustainable competitive advantage**

Operational risk and compliance need to become entrepreneurial pillars of our financial services businesses.

From creating your 'single vision' strategy to encouraging more commerciality in your staff, the **Financial Services Operational Risk & Compliance Forum** is the only event in Australia specifically focused on the evolution of these crucial disciplines.

Yours sincerely,

Natalie Williams
Program Director

KEYNOTE DISCUSSIONS:

Revolutionising The Role Of Operational Risk Within Financial Services

Clinton Lollback, Head of Operational Risk, **Macquarie**

David Love, Director – Policy & International Affairs, **AFMA**

Monika Goyal, Head of Risk & Compliance, **AMP Capital Investors**

Building And Training A Balanced Team To Adapt To The New Landscape

Guy Harding, Chief Risk Officer – Business & Private Banking, **Commonwealth Bank**

Michelle Mott, Head of Risk Management and Change - Group Operational Risk and Compliance, **Westpac**

Lindsey Brine, Head of Controls & Reporting, Global Markets - Wholesale Banking, **NAB**

Structuring Operations, Procedures And Resources For A More Streamlined Approach

Monika Goyal, Head of Risk & Compliance, **AMP Capital Investors**

Garth Jackson, Head of Risk & Compliance, **Allied Irish Banks**

Daniel Au, Vice President, Compliance & Money Laundering Reporting Officer APAC, **Wells Fargo**

Bartolo Mandile, Compliance Manager, **Credit Suisse**

WHO SHOULD ATTEND?

The Financial Services Operational Risk & Compliance Forum will bring together C-level executives from the leading financial institutions to explore how the functions of operational risk, compliance, change and internal audit are simultaneously evolving to meet increased regulatory and business demands:

- **Chief Risk Officer**
- **Head of Risk Management**
- **Head of Operational Risk**
- **Head of Compliance**
- **Head of Internal Audit**
- **Head of Regulatory Affairs**
- **Head of Corporate Governance**
- **Head of Business Continuity**
- **Head of Change Management**
- **Chief Financial Officer**
- **Head of Risk Technology & Systems**

SPEAKER FACULTY

Join national and international industry experts, regulators and a host of your peers at the only event in Australia designed specifically to bring Operational Risk, Compliance, Change and Internal Audit professionals together to address issues from a multi-disciplinary perspective:



Guy Harding,
Chief Risk Officer
- Business & Private Banking,
Commonwealth Bank



Monika Goyal,
Head of Risk & Compliance,
AMP Capital Investors



Phil Carter FBCI,
Head of Group Business
Continuity Management,
ANZ



Michelle Mott,
Head of Risk Management
& Change - Group Operational
Risk & Compliance, **Westpac**



Clinton Lollback,
Head of Operational Risk,
Macquarie



Catherine Crawford,
Head of Compliance Australia,
**State Street Global
Advisors**



Tim Kitching,
Head of Risk Management,
Advice and Marketing,
MLC & NAB Wealth



Stephen Blood,
Head of Operational Risk &
Compliance,
St George Bank



Dr Tro Kortian,
Discipline of Finance - Faculty of
Economics & Business,
Sydney University



Dr Ulysses Chioatto, Director,
SSAMM Management Consulting
& Facilitator, **Responsible
Officers Forum**



Julie Viney,
Business Continuity Specialist,
Vanguard Investments



Jo Proud,
Head of Compliance Asia
Pacific, **State Street Global
Advisors**



Daniel Au,
Vice President - Compliance
& Money Laundering Reporting
Officer APAC, **Wells Fargo**



Ariella Dudine,
Chief Manager
- Legal & Compliance,
Mizuho Corporate Bank



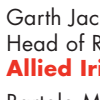
Alf Esteban,
General Manager APAC,
SAI Global



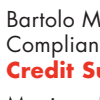
David Love, Director – Policy
& International Affairs,
AFMA



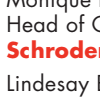
Kay Lindley, Head of Group
Operational Risk,
**Bendigo and Adelaide
Bank**



Garth Jackson,
Head of Risk & Compliance,
Allied Irish Banks



Bartolo Mandile,
Compliance Manager,
Credit Suisse



Monique Batterham,
Head of Corporate Governance,
Schroders



Lindesay Brine, Head of
Controls & Reporting, Global
Markets - Wholesale Banking,
NAB

WHY ATTEND?

Operational risk management is top of mind in the financial services industry - and the stakes are high.

Pressure from regulators, boards, shareholders and customers is being piled onto risk and compliance professionals - you are tasked with bringing risk management up to speed with today's increased challenges!

This event will help empower you to establish operational risk and compliance as a commercial pillar of the business, with sessions on:

- Devising an holistic, enterprise-wide view of the company for a more encompassing approach
- Building an entrepreneurial, proactive team who naturally complement business strategy
- Instilling a compliance and risk-centric culture which resonates across all business units
- Streamlining current frameworks, systems and processes to improve reporting and analytics

INTERACTIVE WORKSHOPS

Having heard the major issues debated throughout the conference, our interactive post-conference workshops give you the chance to explore and discuss in more depth the most pertinent problems being faced by professionals within operational risk and compliance. To ensure the sessions remain interactive and focused - places are limited. Join a small group of your peers to address:

Wednesday 16th February 17.00 – 19.30

NB: A light supper will be served during this session

EVENING WORKSHOP: Embedding An Holistic Approach To Operational Risk Into The Enterprise

- Developing an integrated approach using KRIs, loss data and risk mapping techniques for a more rounded view of operational risk
- Assessing the value of your risk managing processes using effective scenario analysis across the entire framework
- Evaluating and utilising the information gathered to make practical improvements and achieve stronger forecasting
- Linking operational risk to business strategy and using compiled findings to demonstrate business value to the board

Tim Kitching, Head of Risk Management, Advice and Marketing, **MLC & NAB Wealth**

Stephen Blood, Head of Operational Risk & Compliance, **St George Bank**

Thursday 17th February 09.00 – 12.00

NB: Coffee will be served during this session

WORKSHOP A: Dealing With Regulators Effectively And Efficiently

- Meeting transparency and reporting requirements without “over-divulging” or “over-informing” to your detriment
- Undertaking mock-up meetings and polishing your responses prior to the event to ensure all bases are covered
- Dealing effectively with multiple regulators within Australia – learning from real-life case studies

Monique Batterham, Head of Corporate Governance, **Schroders**

Garth Jackson, Head of Risk & Compliance, **Allied Irish Banks**

Thursday 17th February 13.00 – 16.00

NB: Coffee will be served during this session

WORKSHOP B: People Power! Building A Truly Successful Company-Wide Operational Risk & Compliance Culture

- Building an open, communicative company culture to ensure you know what is going on ‘behind the scenes’ to preempt problems
- Creating innovative financial and professional incentive schemes that ensure all business units have a real desire to play by the rules
- Teaching your team to communicate in a personable way to encourage cross-business relations and ensure management buy-in

Dr Ulysses Chioatto, Director, SSAMM Management Consulting & Facilitator, **Responsible Officers Forum**

Thursday 17th February 16.00 – 19.00

NB: A light supper will be served during this session

WORKSHOP C: How To ‘Go Global’ With Your Compliance And Operational Risk Culture

- Dealing with regulators over multiple jurisdictions and harmonising your supervision of both processes and culture
- Instilling open communication and regular inter-team communication to ensure standards are being upheld across the organisation
- Overcoming distance, language, regulatory and cultural differences to ensure a company-wide united approach

Daniel Au, Vice President, Compliance & Money Laundering Reporting Officer APAC, **Wells Fargo**

Jo Proud, Chief Compliance Officer Asia Pacific, **State Street Global Advisors**

EVOLUTION

- 8.45 Keynote Panel: Revolutionising The Role Of Operational Risk Within Financial Services**
From 9/11 to the GFC, global crises have threatened to bring even the strongest financial institutions to their knees. Such events have thrust operational risk into the limelight, causing the discipline to dramatically evolve:
- What lessons have been learnt from threats such as the GFC?
 - How have approaches changed as a result of regulations like Basel II?
 - Reassessing the commercial and strategic importance of Operational Risk
- Clinton Lollback, Head of Operational Risk, MACQUARIE**
Monika Goyal, Head of Risk & Compliance, AMP CAPITAL INVESTORS
David Love, Director – Policy & International Affairs, AFMA
- 09.45 Retaining And Strengthening Australia's Position As The Leading Principle-Based Financial Services Hub**
Investigating the impact of global movements and APRA's stance on worldwide initiatives
- Examining the importance of a stable regulatory environment in meeting the goals of the Johnson Report
 - Exploring the direction of financial services regulation in Australia moving forwards
 - Australia on an international stage – Basel III's impact and beyond
- 10.15 Creating A Single, Commercial Vision Of Risk & Compliance Across The Business**
- Effectively communicating to senior management how operational risk has evolved and assumed a role within revenue generation
 - Demonstrating the link between operational risk & compliance, competitive advantage and profit using tangible business metrics
 - Instilling the importance of a more commercial outlook across your whole team
- Tim Kitching, Head of Risk Management, Advice and Marketing, MLC & NAB WEALTH**
- 11.00 Morning Coffee**
- 11.30 Keynote Panel: Building And Training A Balanced Team To Adapt To The New Landscape**
- Devising assessment criteria to ascertain which candidates bridge the gap between calculations and commerciality
 - Inspiring the team to be more commercially minded and communicate with other business units on their level
 - Embedding a culture of interactive internal training and improvement to maintain motivation
 - Calculating the true value of education and demonstrating ROI to the board
- Guy Harding, Chief Risk Officer – Business & Private Banking, COMMONWEALTH BANK**
Michelle Mott, Head of Risk Management and Change - Group Operational Risk and Compliance, WESTPAC
Lindsey Brine, Head of Controls & Reporting, Global Markets - Wholesale Banking, NAB
- 12.30 Case Study: What Attributes Are Required To Be An Effective Operational Risk Manager?**
The skills required to build an operational risk management framework are very different to those required to be effective operational risk managers. Hear first hand how one bank identified and embedded the set of attributes required for successful operational risk management.
- Clinton Lollback, Head of Operational Risk, MACQUARIE**

- 13.00 Networking Lunch**
14.30 Moving from a Reactive to Proactive Risk Management Approach to Gain Competitive Advantage

- Ensuring transparency and openness at all levels of the business as a means to anticipate additional risks
- Pre-empting forthcoming regulations and progressions through continual external analysis
- Re-introducing individual accountability and risk ownership from the top to the bottom of the business
- Monitoring and benchmarking systems and processes for continuous improvement

Stephen Blood, Head of Operational Risk & Compliance, ST GEORGE BANK

CULTURE

- 15.00 Panel Discussion: Educating The Business From Top To Bottom: Instilling A Company-Wide Risk And Compliance Culture**
- Impressing upon each business unit the value of robust risk and compliance management
 - Delineating the functions to promote a better understanding of the disciplines
 - Instilling individual accountability from the top down – promoting risk ownership
 - Linking good risk and compliance to staff incentives to achieve cross-company buy in
 - Taking a proactive and personable approach when interacting with different business units
- Monique Batterham, Head of Corporate Governance, SCHRODERS**
Ariella Dudine, Chief Manager - Legal & Compliance, MIZUHO CORPORATE BANK
- 16.00 Afternoon Tea**
- 16.30 Case Study: Strengthening Your Culture And Procedures For Future Growth**
- Effectively developing a communication structure to oversee international, multi-jurisdictional regulatory changes
 - Laying the foundations of a strong yet flexible framework that allows for the increased risks of operating in multiple jurisdictions
 - Communicating and upholding your compliance culture on a wider scale, even if it is offshore
- Catherine Crawford, Head of Compliance Australia, STATE STREET GLOBAL ADVISORS**
- 17.00 Encouraging The Exchange Of Cross-Discipline Ideas To Ensure Continual Innovation And Improvement**
- Keeping communication lines open on a global scale to promote constant progression and cover all bases
 - Taking compliance out of the classroom and integrating it with a more mathematical risk-based approach
 - Sharing best practices internally between the disciplines to show a united approach to the business
 - Establishing think tanks and promoting an open, ideas-based outlook through incentives
- Daniel Au, Vice President - Compliance & Money Laundering Reporting Officer APAC, WELLS FARGO**
- 17.00 Networking Drinks Reception**

Keep abreast of all the latest industry developments in the lead up to the conference.

Join our speakers online for:

- interviews
- podcasts
- white papers
- and much more...

www.riskandcompliance.com.au

FRAMEWORK

08.45 **Keynote Panel: Structuring Operations, Procedures And Resources For A More Streamlined Approach**

- Reassessing ERM, ORM and Compliance systems and reporting methods to reduce duplication and improve communication
- Creating a balance between independent operation and integrated management between the functions
- Improving relations with internal audit and ensuring the departments work together on a complementary basis to achieve common goals

Monika Goyal, Head of Risk & Compliance, AMP CAPITAL INVESTORS

Garth Jackson, Head of Risk & Compliance, ALLIED IRISH BANKS

Daniel Au, Vice President - Compliance & Money Laundering Reporting Officer APAC, WELLS FARGO

Bartolo Mandile, Compliance Manager, CREDIT SUISSE

09.45 **Dealing Effectively With Multiple Enterprise Legacy Systems To Ensure A Circular View Of Operational Risk And Compliance**

- Overcoming the issue of cross-business data capture for a consistently up to date risk portrait
- Understanding data input requirements and the potential for human error
- Managing expectations based on realistic data capture when creating assessments and test scenarios
- Assessing the value of loss data consortiums - stay ahead of the curve

Julie Viney, Business Continuity Specialist, VANGUARD INVESTMENTS

10.30 **Morning Coffee**

11.00 **Panel Discussion: Internationalising Your Risk And Compliance Systems – Piecing Together The Global Jigsaw**

- Integrating all aspects of your compliance program for a united, global approach
- Simultaneously addressing your governance, risk and compliance functions to maximise growth potential
- Identifying (from afar) gaps in risk management and opportunities for business improvement
- Practical tips to achieve higher productivity and a stronger international brand

Moderator: Alf Esteban, General Manager APAC, SAI GLOBAL

12.00 **Working Effectively With Technology To Improve Operational Risk & Compliance Systems**

- Maximising the effectiveness of technology within the operational risk and compliance disciplines
- Properly defining and communicating your needs in a way that resonates with IT
- Predicting future regulations and requirements and creating nimble and agile systems
- Removing silos and working towards an integrated single system

Dr Ulysses Chioatto, Director, SSAMM Management Consulting & Facilitator, RESPONSIBLE OFFICERS FORUM

12.30 **Case Study: A Real Life Example Of Cross Business Crises Management**

How do you ensure everyone is ready for the worst case scenario? In this session, we learn about one bank's response to the recent earthquake in New Zealand and the lessons drawn from that experience, in areas such as:

- Accounting for staff
- Re-establishing communications
- Security of assets
- Challenges of re-opening e.g. dealing with building regulations

Phil Carter FBCI, Head of Group Business Continuity Management, ANZ

13.00 **Networking Lunch**

MEASUREMENT

14.30 **Record Management And Storage – How Accessible Is Your Information?**

- Recognising the importance of records management and deploying resources accordingly
- Meeting the regulatory and legal requirements for tracking and locating required information
- Ensuring the right data is captured and retained whilst avoiding duplication scenarios
- Speeding up the flow of external event information into risk management systems for a more agile and reactive approach

15.00 **Case Study: Integrating Risk and Compliance Following a Merger or Acquisition**

- Agreeing upon a singular vision to work towards
- Ensuring buy in across multiple stakeholders
- Working together to take best practices from culture, systems and processes

Kay Lindley, Head of Group Operational Risk, BENDIGO AND ADELAIDE BANK

15.30 **Afternoon Tea**

16.00 **Panel Discussion: Benchmarking Approaches To Capital Modeling**

Managing today's enterprise risk requires a more sophisticated, holistic approach to capital modeling to cope with a more dynamic risk environment. In this session we hear different approaches to measuring and modeling capital:

- Involving multiple disciplines in the design process to ensure an all-encompassing view of the different types of risk
- Using stochastic, rather than deterministic, models within scenario testing to assess risk interplay
- Assessing your operational risk tolerance levels in relation to projected growth and expected returns
- Designing a bottom-up approach using failure analysis and cognitive mapping techniques to visually capture information
- Lessons learnt from recent process failure cases – how hefty fines could have been avoided through better risk assessments

Dr Tro Kortian, Discipline of Finance - Faculty of Economics & Business, SYDNEY UNIVERSITY

16.45 **Chairman's Closing Remarks**

17.00 **Close of Main Conference (Evening Workshop Begins)**



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Delivered as standalone or integrated solutions, our consulting, compliance training, regulatory knowledge and technology solutions can integrate and connect all aspects of your risk, compliance and governance programs.

BENEFITS OF SPONSORING & EXHIBITING:

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- Increasing your competitive selling advantage
- Achieving a high profile association with key decision makers

FOR MORE INFORMATION, PLEASE CONTACT

David Stableford on: +61 (0) 2 9229 2409 or david.stableford@iqpc.com.au

Register Early & Save!

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Financial Services Operational Risk & Compliance Forum

FORMING A UNITED, COMMERCIAL VISION OF OPERATIONAL RISK & COMPLIANCE

www.riskandcompliance.com.au

| PACKAGES | SAVE \$400 EARLY BIRD *Register & pay before 23 November 2010 | STANDARD PRICE |
|--------------------------|---|----------------------------|
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| Conference + 1 Workshop | \$3,798 + GST = \$4,177.80 | \$4,198 + GST = \$4,617.80 |
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| Conference + 3 Workshops | \$5,296 + GST = \$5,825.60 | \$5,696 + GST = \$6,265.60 |
| Conference + 4 Workshops | \$5,995 + GST = \$6,594.50 | \$6,395 + GST = \$7,034.50 |

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* Registrations received without payment or a Government PO will incur a processing fee of \$99 + GST = \$108.90 per registration.

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NOTE: PAYMENT IS DUE WITHIN 7 DAYS FROM REGISTRATION TO SECURE YOUR PLACE. Registrations received without payment or a Government PO will incur a processing fee of \$99+GST = \$108.90 per registration. Payment prior to the conference is mandatory for attendance. Payment includes lunches, refreshments, a copy of conference presentations via FTP website or workbook and all meeting materials. If payment has not been received two weeks before the conference, a credit card hold will be taken and processed. This card will be refunded once alternate payment has been received.

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WHEN 15, 16, 17 February 2011

TEAM DISCOUNTS

IQPC recognises the value of learning in teams.

Take advantage of one of these special rates:

- 1 Register a team of 4 to the conference at the same time from the same company and receive a free pass for a 5th delegate
- 2 Ask about multi-event discounts.

Please note: Only one discount applies

ACCOMMODATION

The Lido Group are the official booking agent for the **FINANCIAL SERVICES OPERATIONAL RISK & COMPLIANCE FORUM**.

The Lido Group have negotiated event rates at a range of hotels for all attendees of this event.

To take advantage of these rates & book direct on the website, please go to www.riskandcompliance.com.au and click on the Venue & Accommodation page.

QUICK and EASY WAYS to REGISTER

TELEPHONE +61 2 9229 2467

FAX +61 2 9223 2622

EMAIL Meg.O'Brien@iqpc.com.au

MAIL IQPC, Level 6, 25 Bligh Street, SYDNEY NSW 2000

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