

NOVEMBER 6, 2018
NATIONAL HARBOR, MD

**PREFERRED PRICING
FOR RMA ASSOCIATE
MEMBERS!**



COMMUNITY BANK VENDOR RISK MANAGEMENT FORUM

This forum can be taken on its own, or as a post-conference event at RMA's Annual Risk Management Conference, November 4–6, 2018. Visit www.rmahq.org/rmaconf2018 for conference details.

FORUM OVERVIEW

Third-party relationships continue to be a critical component of operational risk frameworks for organizations of all sizes. Amid mounting pressure from regulators, institutions like yours are challenged with meeting regulatory expectations and ensuring their programs help mitigate the risks related to third-party relationships.

This year's forum addresses best practices and effective strategies in managing third party relationships through the lifecycle of the vendor relationship. Starting with what is and what is not a critical third party, the forum delves in to the top line risks every institution should evaluate: cyber, privacy, and information security and provides insight into post-contract management and monitoring as well as KRIs and risk reporting.

WHO WILL BENEFIT?

Anyone involved in third-party selection, due diligence, relationship management, risk management, and IT/security will benefit from this forum. In addition, this forum may be beneficial for compliance, legal, audit, and management.

YOU WILL:

- Understand what constitutes a critical third party, best practices in segmentation/tiering; and essential risk domains that should be addressed in your program.
- Explore best practices in cyber, privacy, and information security risk including effective controls and techniques for monitoring third party risk.
- Learn how to translate policy and standards into effective practices for managing and monitoring critical third parties.
- Gain insight into aligning your third-party risk domains with your ERM framework in order to develop meaningful KRIs and risk reporting.
- Hear an update on recent and topical regulatory communications and insights gained from member surveys on third party risk management.
- Have an opportunity to discuss top-of-mind questions, issues, or challenges, and explore topics addressed during the forum with industry experts.

EVENT LOCATION:

Gaylord National Resort and Convention
201 Waterfront Street
National Harbor, MD 20745
301-965-4000

REGISTRATION FEE:

Associate members: \$595
Nonassociates from member institutions/professional members: \$595
Nonmembers: \$750

CONTINUING EDUCATION CREDITS:

Credit Risk Certification: 6 CEUs



AGENDA

NOVEMBER 6, 2018

1:00 P.M. – 1:30 P.M. REGISTRATION AND LUNCH

1:30 P.M. – 2:00 P.M. EFFECTIVE LIFECYCLE MANAGEMENT

SPEAKER:

Linda Tuck Chapman, ONTALA and author “Third Party Risk Management: Driving Enterprise Value,” published by RMA

Defining what is and what is not a critical third party makes your program meaningful and relevant to business leaders and the board. During this session we will explore what constitutes a critical third party, best practices in segmentation/tiering; and essential risk domains that should be addressed in your program.

2:00 P.M. – 2:40 P.M. TOP LINE RISKS: CYBER, PRIVACY, AND INFORMATION SECURITY

SPEAKER:

Tom Garrubba, CISO, Shared Assessments

Regardless of business mix, effective cyber, privacy, and information security risk identification and evaluation are essential for the protection of your customers, shareholders and reputation. During this session we will explore some best practices including effective controls and techniques for monitoring third party risk.

2:40 P.M. – 2:55 P.M. BREAK

2:55 P.M. – 3:25 P.M. POST-CONTRACT MANAGEMENT AND MONITORING

SPEAKER:

Larry Salvati, Operational Risk Manager - Payments, Virtual Solutions, and Innovation, Corporate Risk - Deposit Products Group, Wells Fargo

The first line of defense (LOD) owns the third party relationship and its risks. As a senior leader in the first LOD, Larry will share his lessons learned in translating policy and standards into effective practices for managing and monitoring the critical third parties supporting his line of business. Larry will also touch on the impact new GDPR regulation is having on his organization and the bank.

3:25 P.M. – 4:05 P.M. KRIS AND RISK REPORTING

SPEAKER:

Linda Tuck Chapman, ONTALA and author “Third Party Risk Management: Driving Enterprise Value,” published by RMA

Third party risk management is a team sport, involving many people across the institution at various stages during the lifecycle of critical third party relationships. Aligning in-scope third-party risk domains with your ERM framework improves communication and rigor, and can guide development of meaningful KRIs and insightful risk reporting.

4:05 P.M. – 4:25 P.M. REGULATORY UPDATE; OPPORTUNITIES TO STRENGTHEN YOUR PROGRAM

SPEAKER:

Sylwia Czajkowska, Associate Director, Operational Risk, RMA

RMA is in constant contact with its members and regulators, providing expert insight into regulatory communications, commenting on proposed regulatory changes on behalf of the sector, sharing best practices, and facilitating thought leadership among member institutions. During this session, Sylwia will provide an update on recent and topical regulatory communications and insights gained from member surveys on third party risk management.

4:25 P.M. – 4:50 P.M. “ASK THE EXPERT” PANEL DISCUSSION

SPEAKERS:

Larry Salvati, Operational Risk Manager - Payments, Virtual Solutions, and Innovation, Corporate Risk - Deposit Products Group, Wells Fargo

Linda Tuck Chapman, ONTALA and author “Third Party Risk Management: Driving Enterprise Value,” published by RMA

Tom Garrubba, CISO, Shared Assessments

During this interactive session, participants will have an opportunity to discuss their top-of-mind questions, issues, or challenges, and explore topics addressed during this session, in greater detail. To kick off the session, presenters will share some complex issues they have faced. Bring your questions!

4:50 P.M. – 5:00 P.M. BOOK SIGNING

COMMUNITY BANK VENDOR RISK MANAGEMENT FORUM

NOVEMBER 6, 2018 | NATIONAL HARBOR, MD | EVENT #504401-19

| | |
|--|-------|
| Registration Fee | |
| Associate members: | \$595 |
| Nonassociates from member institutions/professional members: | \$595 |
| Nonmembers: | \$750 |

PROMOTIONAL CODE: BROCHURE

Please use this promotional code when prompted during checkout when registering online, or mention it when registering by phone.

Mr. Ms. Mrs.

First name _____ M.I. _____ Last name _____

Nickname (for badge) _____ Title _____

Institution _____

Mailing address _____

City _____ State/province _____ Zip/postal code _____

Country _____ **Attention Canadian registrants:** Please be advised that remittance of GST tax is your responsibility. RMA is not required by law to register and collect GST taxes in Canada.

Phone # _____ Email _____

Billing Information Same as above

Name _____ Institution _____

Phone _____ Email _____

Address _____

City _____

State/province _____ Zip/postal code _____ Country _____

Cancellation and Transfer Policies*

Cancellations: A full refund of course registration fees will be issued for cancellations received 15 or more business days prior to the event start date; 50% if cancelled 6-14 business days prior, and no refund for 5 or fewer days. If you fail to attend the event, you forfeit the entire fee. In the event the course is cancelled by RMA, you will receive a full refund for registration fees. However, RMA does not assume responsibility for any other expenses, including the purchase of airline tickets, incurred by you in connection with attending the event.

Transfers: You may transfer one time to a new date up to five or more business days prior to the event. If you are unable to attend a similar event within one year from the original registration date, you forfeit the entire registration fee.

Please note: Written (fax 215-446-4100 or email registrar@rmaq.org) cancellation is required to process all refunds and transfers.

Please choose your discipline. Check all that apply:

- | | | |
|--|--|---|
| <input type="checkbox"/> Enterprise risk | <input type="checkbox"/> Operational risk | <input type="checkbox"/> Not in a risk discipline |
| <input type="checkbox"/> Credit risk | <input type="checkbox"/> Regulatory compliance | |
| <input type="checkbox"/> Market risk | <input type="checkbox"/> Securities lending | |

Use our tailored email alerts to keep informed in your area of interest, which you can update below:

- | | | |
|--|--|---|
| <input type="checkbox"/> Annual Statement Studies <input type="checkbox"/> Enterprise Risk Management <input type="checkbox"/> Institutions with assets up to \$10 Billion <input type="checkbox"/> Institutions with assets between \$10 and \$50 Billion <input type="checkbox"/> Institutions with assets of \$50 billion and up <input type="checkbox"/> Credit Risk Management <input type="checkbox"/> Credit and Lending Training <input type="checkbox"/> Agricultural Lending | <input type="checkbox"/> Consumer Banking <input type="checkbox"/> Commercial Real Estate <input type="checkbox"/> Credit Department/Portfolio Management <input type="checkbox"/> Healthcare Lending <input type="checkbox"/> Loan Review/Audit <input type="checkbox"/> Loan Operations <input type="checkbox"/> Operational Risk Management <input type="checkbox"/> Institutions with assets up to \$10 Billion <input type="checkbox"/> Institutions with assets between \$10 and \$50 Billion | <input type="checkbox"/> Institutions with assets of \$50 billion and up <input type="checkbox"/> Market Risk Management <input type="checkbox"/> Institutions with assets between \$10 and \$50 Billion <input type="checkbox"/> Institutions with assets between \$50 and \$180 Billion <input type="checkbox"/> Institutions with assets of \$180 billion and up <input type="checkbox"/> Regulatory Compliance <input type="checkbox"/> Securities Lending |
|--|--|---|

Five ways to register

Web: www.rmaq.org / Phone: 800-677-7621 / Fax: 215-446-4100

Email: registrar@rmaq.org / Mail: RMA, Lbx 1140-PO Box 8500, Philadelphia, PA 19178-1140

Check enclosed VISA MasterCard AMEX Diners Club Discover

Credit Card number _____ Exp. date _____

Signature _____

I understand my signature authorizes The Risk Management Association to charge my credit card for this purchase.

This section must be filled out in order to properly process your registration

Which best describes your job function? Please check all that apply.

- Auditor
- Business Line Operational Risk Manager
- CEO/President
- Chief Credit Officer
- Chief Risk Officer
- COO
- Chief Operational Risk Officer
- Chief Information Officer/Director IT
- Chief Regulatory Affairs Officer
- CFO/Finance
- Compliance Officer/Manager
- Corporate Operational Risk Manager
- CPA/Attorney/Appraiser
- Credit Administration/Department
- Credit Policy Officer
- Dean/Professor/Teaching Assistant
- Government Agency
- Human Resources/Training Director
- Insurance
- IT Manager
- Legal Counsel
- Loan Review/Administration
- Market Risk Officer
- Nonbank/Nonfinancial
- Portfolio Management Officer
- Regulator/Examiner
- Relationship Manager/Lender
- Risk Management Officer
- Secretary/Admin. Assistant
- Securities Lending
- Securities Trader
- Chief/Senior Lender
- Student
- Underwriter/Analyst
- University/Librarian

Which best describes your area of specialty? Please check all that apply.

- Agricultural Lending
- Audit
- Commercial Banking
- Consumer/Retail Banking
- Corporate Office
- Credit Department
- Credit Risk
- Custody
- Enterprise Risk
- Finance Function
- Funds Management
- Health Care
- International/Global Banking
- Investment Banking
- IT
- Legal
- Life/Health Insurance
- Market Risk
- Nonbank/Nonfinancial Institution
- Nonprofit/University
- Operational Risk
- Operations
- P&C Insurance
- Private Banking/Wealth Management
- Real Estate Lending
- Sales and Marketing
- Securities Lending
- Securities or Fixed-Income Trading

