

# 2024 SYNERGY for Corporate Risk

## DRAFT SESSION IDEAS | SESSIONS ARE NOT FINAL AND WILL CHANGE

Section	Session Title	Session Description	Session Objectives	Prerequisites
Corporate Risk	AI Revolution in Banking: Opportunities and Challenges	In this session, we will explore the role of generative artificial intelligence (AI) in the banking sector, an evolving development that is transforming the way financial services operate. You will learn about how generative AI is being integrated into various banking processes, from customer service to risk management, and the potential it has for enhancing efficiency, accuracy, and innovation in financial services.	<p>Understand the concept of generative AI and its applications in the banking industry.</p> <p>Recognize the benefits and challenges associated with the adoption of generative AI in banking.</p> <p>Identify areas within banking operations where generative AI can have the most significant impact.</p> <p>Evaluate the ethical and regulatory considerations when implementing generative AI solutions in financial services.</p> <p>Anticipate future trends and developments in AI that could further influence the banking sector</p>	Participants should have a working knowledge of AI concepts and the current technology landscape within the financial services industry. Familiarity with data privacy, ethical AI use, and regulatory compliance will also be advantageous for comprehending the more advanced topics discussed in this session.
Corporate Risk	AML and Sanctions Compliance: Steering Through Consent Orders	In this session, we will work with the intricacies of navigating Anti-Money Laundering (AML) regulations, sanctions, and Consent Orders in the financial sector. You will gain insights into how these regulatory mechanisms interplay to form a robust compliance framework. We will dissect the complexities of AML policies, understand the implications of sanctions, and learn how to effectively manage Consent Orders to mitigate risk and ensure regulatory adherence.	<p>Upon completion of this session, participants will be able to:</p> <p>Comprehend the AML regulatory landscape and the role of sanctions in financial oversight.</p> <p>Assess the implications of non-compliance with AML standards and sanctions for financial institutions.</p> <p>Formulate strategies for AML compliance and sanctions management that align with regulatory expectations.</p> <p>Navigate the Consent Order process in the context of AML and sanctions violations.</p> <p>Apply best practices for remediation and ongoing compliance to prevent future enforcement actions.</p>	Participants should have a working knowledge of AML and sanctions regulations as they apply to the financial industry. An understanding of the enforcement process and previous exposure to compliance and risk management principles will be beneficial for engaging with the content of this session.
Corporate Risk	Beyond KYC: Mastering KYB, Compliance and Supply Chain in the Financial Sector	In this session, we will examine the critical components of Know Your Business (KYB), compliance, sanctions, and supply chain management in the finance sector. We'll explore how financial institutions conduct due diligence on business customers, manage compliance obligations, navigate sanctions, and secure their supply chains against financial crimes and regulatory breaches. This session is designed to equip you with the knowledge and tools needed to reinforce the integrity of financial operations and adhere to stringent regulatory standards.	<p>Understand the principles and processes involved in KYB due diligence and its importance in the financial sector.</p> <p>Develop strategies to maintain compliance with evolving regulatory requirements and manage the risks associated with non-compliance.</p> <p>Analyze the impact of international sanctions on financial operations and how to navigate them effectively.</p> <p>Implement robust supply chain risk management practices to detect and prevent financial crimes such as money laundering and terrorist financing.</p>	Participants should have a working knowledge of the regulatory landscape affecting financial institutions, including anti-money laundering (AML) and counter-terrorist financing (CTF) regulations. Familiarity with international trade and sanctions laws, as well as experience with due diligence processes, will be beneficial for comprehending the complex topics covered in this session.

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Corporate Risk	Combating Financial Fraud: Strategies for Identity, First-Party and Elder Fraud Prevention	In this session, we will confront the pressing issue of fraud within the financial industry, focusing on identity fraud, first-party fraud, and elder fraud. We'll dissect the tactics used by fraudsters, the vulnerabilities they exploit, and the devastating impact these crimes can have on individuals and institutions. Participants will learn about the latest detection methods, prevention strategies, and the role of technology in combating these types of fraud. The session will also cover the ethical considerations and regulatory responsibilities financial institutions have in protecting their customers, especially vulnerable populations like the elderly.	<p>Identify the different types of fraud prevalent in the financial industry, with a focus on identity fraud, first-party fraud, and elder fraud.</p> <p>Understand the methods used by criminals to carry out these fraudulent activities and the red flags that may indicate a fraud attempt.</p> <p>Implement effective detection and prevention techniques to protect against fraud within their organizations.</p> <p>Develop policies and training programs aimed at safeguarding clients, particularly seniors, from financial exploitation.</p> <p>Navigate the legal and regulatory frameworks that govern fraud prevention in the financial sector and ensure compliance with these standards.</p>	Participants should have a working knowledge of financial industry practices, including customer interaction, account management, and transaction processing. Familiarity with the legal obligations related to consumer protection and fraud prevention will be crucial for engaging with the session material.
Corporate Risk	Empowering Data for Good: How Financial Institutions Leverage Thomson Reuters Managed Services	In this session, we will explore how financial institutions are leveraging Thomson Reuters Managed Services to empower data for good. We'll look at the ways in which these services enable banks and other financial organizations to enhance their data management capabilities, improve compliance, and harness data analytics for strategic decision-making. This session will highlight the benefits of managed services in dealing with the complexity of large datasets, regulatory requirements, and the need for accurate, actionable insights.	<p>Understand the role of Thomson Reuters Managed Services in the financial industry and the suite of solutions they offer.</p> <p>Analyze how financial institutions can use these services to improve data governance and compliance with regulatory standards.</p> <p>Explore case studies where Thomson Reuters Managed Services have enabled financial institutions to leverage data for strategic advantage.</p> <p>Discuss the ways in which managed services contribute to social responsibility and ethical use of data in the financial sector.</p>	Participants should have a working knowledge of data management practices and the regulatory environment of the financial industry. An appreciation for the challenges associated with large-scale data analysis and reporting will also be essential for understanding the value proposition of managed services in this context.
Corporate Risk	Follow the Money: A Panel Discussion on Combatting Human Rights Crimes in the Financial Sector	In this session, we will confront the sobering and critical topic of human rights crimes and human trafficking, focusing on how the banking and financial industry can play a pivotal role in detection and prevention. Our panel will discuss the signs of such illicit activities within financial operations, the responsibilities of financial institutions, and the collaborative efforts needed to combat these serious crimes.	<p>Recognize the financial patterns and behaviors indicative of human rights abuses and human trafficking.</p> <p>Understand the legal and ethical obligations of financial institutions in detecting and reporting these activities.</p> <p>Implement effective due diligence and monitoring processes to identify suspicious transactions related to human trafficking.</p> <p>Engage with law enforcement and regulatory agencies to enhance prevention efforts and facilitate the disruption of financial flows linked to human rights crimes.</p> <p>Assess the impact of emerging technologies and data analytics in improving the detection of human trafficking activities.</p>	Participants should have a working knowledge of the financial industry's role in AML efforts, the basics of transaction monitoring, and a foundational understanding of the legal framework related to human rights and anti-trafficking measures.

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Corporate Risk	Fortifying Finance: Combating Cyber Threats and Ransomware in Banking	In this session, we will tackle the critical issues of network security, cybersecurity, and the threat of ransomware within the financial industry. We'll discuss the importance of robust security measures to protect sensitive financial data and the strategies institutions can employ to safeguard against cyber threats. Additionally, we will examine the implications of ransomware attacks on financial services and the best practices for prevention, response, and recovery.	<p>Understand the core concepts of network security and cybersecurity as they relate to the financial industry.</p> <p>Identify the various types of cyber threats, including ransomware, and their potential impact on financial institutions.</p> <p>Implement effective security protocols and practices to mitigate the risk of cyber attacks.</p> <p>Develop a comprehensive incident response plan to address potential security breaches, including ransomware scenarios.</p> <p>Evaluate the regulatory requirements and industry standards for cybersecurity in the financial sector.</p>	Participants should have a working knowledge of information technology and basic cybersecurity principles. An understanding of financial industry operations and the regulatory environment will also be essential for contextualizing the cybersecurity measures discussed in this session.
Corporate Risk	Navigating the Future of Finance: Crypto, Blockchain and Digital Assets	In this session, we will delve into the rapidly evolving landscape of cryptocurrencies, blockchain technology, and digital assets within the financial industry. You'll discover how these technologies are not just disruptive forces but also catalysts for innovation in financial services. We'll cover the fundamentals of blockchain and digital assets, the integration of cryptocurrencies into financial products and services, and the regulatory challenges and opportunities that come with this new frontier.	<p>Explain the underlying technology of blockchain and how it supports digital assets like cryptocurrencies.</p> <p>Assess the impact of cryptocurrencies and digital assets on traditional financial systems and services.</p> <p>Identify the risks and benefits associated with the integration of digital assets in the financial industry.</p> <p>Navigate the complex regulatory environment that governs the use of blockchain and cryptocurrencies in finance.</p> <p>Anticipate the future trends in digital asset management and the potential for further innovation in this space.</p>	Participants should have a working knowledge of the basic concepts of cryptocurrencies and blockchain technology, as well as an understanding of the current financial services industry structure. Familiarity with existing regulatory standards and the challenges of implementing new technologies in a regulated environment will help in grasping the nuances of this topic.

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Corporate Risk	The Future of Compliance: Gen AI in SAR Filings and Financial Monitoring	<p>In this session, we will discuss the innovative ways in which generative AI technologies can be integrated into the financial monitoring processes of banks and other financial institutions. We'll explore the potential of AI to transform traditional monitoring systems by enhancing predictive analytics, improving detection of anomalous transactions, and streamlining regulatory compliance efforts. This integration promises not only to boost efficiency but also to revolutionize risk assessment and fraud prevention strategies.</p> <p>Upon completion of this session, participants will be able to:</p>	<p>In this session, we will explore the application of Generative Artificial Intelligence (GenAI) in Suspicious Activity Report (SAR) investigations within the banking and financial industry. The lecture will cover the fundamentals of GenAI technology, how it can enhance the detection and analysis of suspicious activities, and the challenges and considerations of integrating AI into compliance workflows. We'll discuss the potential of GenAI to transform SAR investigations, making them more efficient and effective in identifying potential money laundering or terrorist financing activities.</p>	<p>Define GenAI and its capabilities in the context of SAR investigations.</p> <p>Recognize the benefits and limitations of applying Gen AI to the analysis of financial transactions and customer behavior.</p> <p>Apply GenAI tools to enhance the detection of suspicious activities that warrant SAR filings.</p> <p>Understand the regulatory compliance aspects of using AI in SAR investigations, including data privacy and model governance.</p> <p>Explore case studies where GenAI has been successfully implemented in SAR processes and the lessons learned from these deployments.</p>
Corporate Risk	The invisible Enemy: Addressing Insider Risk in the Finance Industry	<p>In this session, we will delve into the critical realm of Insider Threats &amp; Investigations within the banking and financial industry. The session is designed to provide an in-depth understanding of the complexities and challenges that financial institutions face in detecting and mitigating risks posed by insiders. We will share insights into best practices for establishing robust insider threat programs and the role of investigations in protecting organizational assets.</p>	<p>Identify the key characteristics of insider threats in the banking and financial sector.</p> <p>Understand the regulatory requirements and compliance issues related to insider threats.</p> <p>Develop strategies for proactively detecting and preventing insider malfeasance.</p> <p>Implement effective investigative techniques to respond to insider threat incidents.</p> <p>Evaluate the impact of technological advancements on insider threat detection and mitigation.</p>	<p>Participants should have a working knowledge of banking and financial industry practices, as well as basic familiarity with risk management and information security concepts</p>

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Corporate Risk	The Road Ahead in Finance: Post-Presidential Election Compliance and Regulation Outlook	Looking ahead to the post-presidential election landscape of 2024, this session will provide a forward-thinking analysis of the potential impacts and changes we can anticipate in finance and compliance. We will discuss how shifts in political leadership can influence regulatory trends, economic policies, and the overall direction of the financial industry. The session will also offer insights into preparing for and adapting to the evolving compliance environment that may emerge as a result of the election's outcome.	<p>Evaluate the potential implications of the 2024 presidential election on financial regulation and compliance.</p> <p>Anticipate changes in economic policies that could affect financial markets and institutions.</p> <p>Develop strategies for staying ahead of regulatory shifts and maintaining compliance in a changing political landscape.</p> <p>Understand the importance of regulatory agility and proactive risk management in the context of political transition.</p> <p>Discuss scenarios and contingency planning for various post-election regulatory outcomes.</p>	Participants should have a working knowledge of the current regulatory environment, as well as an understanding of how political changes can impact financial legislation and compliance requirements. It will also be helpful for participants to be aware of the key financial issues debated during the election that could lead to significant changes in policy.