



NSCP Spring Conference in Chicago
Today's Issues and Insights - Coverage for Seasoned Professionals
Tuesday, April 30, 2019

7:30 am – 8:30 am: Registration and Breakfast

8:30 am – 9:30 am: Session 1 – Keynote Panel - Ethical Considerations of Artificial Intelligence

9:30 am – 9:45 am: Break

9:45 am – 11:00 am: Session 2 - Privacy, GDPR, Security – Local and Global Landmines Abound

This session will recap current U. S., European (and related) personal privacy rules and regulations. The panel will provide an overview and discuss the requirements for processing, handling, maintenance and breach of use of non-public personal information.

Learning Objectives:

- Compare/contrast similarities/differences in state privacy laws and regulations with those of the E.U. and other applicable countries
- Examine data protection procedures and applications to ensure sufficient systems and controls, and potential technology limitations
- Identify best practices to mitigate risks, address remediation for breaches, and tighten controls prior to 2020
- Explore successful educational/training sessions and potential resource needs across multiple departments to support new business plans

11:00 am – 11:15 am: Break

11:15 am – 12:30 pm: Session 3 - Risk-Based Compliance Testing

This session will focus on transactional quality control tests for risk-based compliance testing. Attendees will learn practical methods and best practices for testing.

Learning Objectives:

- Comparing the different types of testing and their uses, such as walk-throughs, statistical sampling, “haphazard” sampling, and use of technology for different firm sizes
- Discussing problems in testing and how to test the “tone at the top”
- Understanding the elements of proper documentation
- Addressing and reporting serious breaches

12:30 pm – 1:00 pm: Networking Lunch

1:00 pm – 1:15 pm: Break

1:15 pm – 2:15 pm: Session 4 - Vendor Risk Management & Due Diligence

This session will focus on the key elements of an effective vendor due diligence program. Attendees will receive useful tools, checklists and questionnaires for conducting a review of third parties and vendors.

Learning Objectives:

- Conducting the initial due diligence review including DDQs, document requests and on-site visits
- Memorializing certain key controls in your vendor agreement (cyber security system requirements and duties to notify if there is a material breach)
- Recognizing red flags and the on-going due diligence process (certifications, service level agreements, assessments)
- Discussing recent enforcement actions and regulatory expectations regarding due diligence, including cybersecurity

2:15 pm – 2:30 pm: Break

2:30 pm – 3:30 pm: Session 5 - Regulatory Exams and Investigations

This session will compare and contrast jurisdictional boundaries and review how the SEC, FINRA, DOL and state securities agencies conduct exams and investigations, with a focus on resolving any findings/violations in order to best position your firm to deal with the next regulator that knocks on your door.

Learning Objectives:

- Understanding jurisdictional boundaries of the SEC, FINRA, DOL and states
- Discussing current areas of exam and investigative focus
- Responding to information requests and handling employee interviews
- Resolving findings and violations both during and after the exam/investigation

3:30 pm – 3:45 pm: Break



3:45 pm – 5:00 pm: Session 6 - Overview of Hot Compliance Topics

This session will provide an interactive discussion of current hot topic ideas and industry best practices, along with compliance challenges.

Learning Objectives:

- Confronting cryptocurrency and personal trading
- Maximizing social media communications while remaining compliant
- Aligning books and records requirements with cloud storage and updating technology storage
- Internalizing the 2019 exam priorities