



Conference on the Latest Developments of the U.S.  
Financial Regulations for Foreign Banking Operations

海外分區經理人、法遵人員暨內稽內控人員研討會

2023

# 海外分區經理人、法遵人員 暨內稽內控人員研討會

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## 一、活動背景

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近年來我國銀行業積極進行海外布局，而在積極拓展業務之同時，亦應發揮法令遵循功能、落實相關制度，以有效防免違失事件發生。倘若發生未切實遵守法令或不合規而衍生任何爭議，不僅重創個別銀行之在地市場經營，更可能影響整體台灣金融產業之國際聲譽，是以國銀海外據點之法令遵循，實為現階段必須即刻謹慎因應之首要課題。

有鑑於此，中華民國銀行公會特委託台灣金融研訓院，自 2017 年開始辦理「海外分區經理人、法遵人員暨內稽內控人員研討會」，旨在提升國銀對於各地金融法規之認識與遵循。考量美國紐約為全球金融重鎮，美國主管機關監理動向攸關台灣銀行業者海外經營總體策略。

研討會中除邀請國內主管機關與會以外，亦將特別邀請美國當地銀行法遵領域專家，就法令遵循、資訊安全、監理與檢查制度、內部控制與稽核程序、風險管理策略等重點議題，分享專業見解，冀增進台灣業者對於美國金融法令規範之理解、促進台美雙方金融交流，藉以強化國銀法遵意識，以及法遵制度之健全發展。

## 二、指導單位

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金融監督管理委員會

## 三、主辦單位

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中華民國銀行公會

## 四、執行單位

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台灣金融研訓院

## 五、參加對象

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- 金融主管機關相關人員；
- 會員銀行董事、監事、總機構法令遵循單位主管、總機構內部稽核單位主管；

- 會員銀行北美地區分行業務主管、法令遵循及內部稽核主管及人員。

## 六、活動時間

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112年4月16日(日)至4月23日(日)(為期八天五夜)

## 七、活動地點

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美國紐約市(飯店確認中)

## 八、活動內容

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### Day 1 April 16, Sunday

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Arrival to New York City (暫定長榮航空)

Date	Schedule	Airline	Time	Duration
April 16	Taiwan - New York	BR32	TPE 19:10 /JFK 22:05	14hr 55min

### Day 2 April 17, Monday

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Free

### Day 3 April 18, Tuesday

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Latest Developments of the U.S. Financial Regulations for Foreign Banking Operations

Venue: (To Be Confirmed)

Time	Agenda
09:00-09:30	Registration
09:30-09:40	Opening Remarks Dr. Paul C. D. Lei, Chairman, Bankers Association of the Republic of China

Time	Agenda
09:40-10:10	<b>Keynote Speech</b> (including 10 minutes Q&A) <b>Latest Regulatory Developments in the U.S</b> (To Be Confirmed) Representative from Federal Reserve Bank of New York (inviting)
10:10-10:30	Coffee Break
10:30-11:00	<b>Keynote Speech</b> (including 10 minutes Q&A) <b>Latest Regulatory Developments in the U.S</b> (To Be Confirmed) Representative from New York State Department of Financial Services (inviting)
11:00-11:40	<b>Keynote Speech</b> (including 10 minutes Q&A) <b>The Current Status, Challenges and Supervisory Focus of Overseas Operation for Taiwan Banking Sector</b> (To Be Confirmed) Representative from Financial Supervisory Commission R.O.C. (inviting)
11:40-13:00	Lunch Break
13:00-14:00	<b>Building a Sound Compliance Culture</b> (To Be Confirmed) Representative from International Finance Corporation (World Bank Group) (inviting)
14:00-15:00	<b>Strengthening Cyber Resilience in Open Banking Environments</b> (To Be Confirmed) Representative from Citibank (inviting)
15:00-15:20	Coffee Break
15:20-16:20	<b>Managing Third Party Technology Risks</b> (To Be Confirmed) Representative from ISACA (Information Systems Audit and Control Association) (inviting)
16:20-17:20	<b>Best Practices of Regulatory Compliance in Responses to latest Supervisory Guidance of AML / CFT &amp; Sanctions in the U.S.</b> (To Be Confirmed) Representative from Wells Fargo Bank (inviting)
18:00-20:00	Dinner

## Day 4 April 19, Wednesday

### Latest Developments of the U.S. Financial Regulations for Foreign Banking Operations

Venue: (To Be Confirmed)

Time	Agenda
09:30-10:10	<b>RegTech Strategy: How to Optimize AML risk assessment, and Continuous Monitoring with Technologies (To Be Confirmed)</b> Representative from Association of Certified Anti-Money Laundering Specialists (inviting)
10:10-10:20	Coffee Break
10:20-11:00	<b>Sustainability Finance: Global Outlook and Role of Regulatory Compliance (To Be Confirmed)</b> Representative from S&P Global Sustainable1 (inviting)
11:00-11:20	Coffee Break
11:20-12:20	<b>Panel Discussion: Key Regulatory Compliance Issues for Foreign Banking Organizations in the U.S (To Be Confirmed)</b> <u>Moderator</u> Dr. Paul C. D. Lei, Chairman, Bankers Association of the Republic of China <u>Panelists</u> (inviting) Representative from Financial Supervisory Commission R.O.C. Representative from New York State Department of Financial Services Representative from Federal Reserve Bank of New York Representatives from International Banks

## Day 5 April 20, Thursday

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Time	Agenda
10:00-11:00	<b>Institution Visit #1</b> <b>New York State Department of Financial Services</b> (To Be Confirmed)
11:30-13:30	Lunch
14:00-15:00	<b>Institution Visit #2</b> <b>Federal Reserve Bank of New York</b> (To Be Confirmed)

## Day 6 April 21, Friday

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Free

## Day 7&8 April 22, Saturday & April 23, Sunday

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Back to Taiwan (暫定長榮航空)

Date	Schedule	Airline	Time	Duration
April 22	New York - Taiwan	BR31	JFK 01:25/ TPE 05:15+1	15hr 50min



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