



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

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



一、活動背景

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

金融監督管理委員會

三、主辦單位

中華民國銀行公會

四、執行單位

台灣金融研訓院

五、參加對象

- 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

112 年 4 月 16 日(日)至 4 月 23 日(日)(為期八天五夜)

七、活動地點

美國紐約市(飯店確認中)

八、活動內容

Day 1 April 16, Sunday

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

Free

Day 3 April 18, Tuesday

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	Keynote Speech (including 10 minutes Q&A) Latest Regulatory Developments in the U.S (To Be Confirmed) Representative from Federal Reserve Bank of New York (inviting)
10:10-10:30	Coffee Break
10:30-11:00	Keynote Speech (including 10 minutes Q&A) Latest Regulatory Developments in the U.S (To Be Confirmed) Representative from New York State Department of Financial Services (inviting)
11:00-11:40	Keynote Speech (including 10 minutes Q&A) The Current Status, Challenges and Supervisory Focus of Overseas Operation for Taiwan Banking Sector (To Be Confirmed) Representative from Financial Supervisory Commission R.O.C. (inviting)
11:40-13:00	Lunch Break
13:00-14:00	Building a Sound Compliance Culture (To Be Confirmed) Representative from International Finance Corporation (World Bank Group) (inviting)
14:00-15:00	Strengthening Cyber Resilience in Open Banking Environments (To Be Confirmed) Representative from Citibank (inviting)
15:00-15:20	Coffee Break
15:20-16:20	Managing Third Party Technology Risks (To Be Confirmed) Representative from ISACA (Information Systems Audit and Control Association) (inviting)
16:20-17:20	Best Practices of Regulatory Compliance in Responses to latest Supervisory Guidance of AML / CFT & Sanctions in the U.S. (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	RegTech Strategy: How to Optimize AML risk assessment, and Continuous Monitoring with Technologies (To Be Confirmed) Representative from Association of Certified Anti-Money Laundering Specialists (inviting)
10:10-10:20	Coffee Break
10:20-11:00	Sustainability Finance: Global Outlook and Role of Regulatory Compliance (To Be Confirmed) Representative from S&P Global Sustainable1 (inviting)
11:00-11:20	Coffee Break
11:20-12:20	Panel Discussion: Key Regulatory Compliance Issues for Foreign Banking Organizations in the U.S (To Be Confirmed) <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

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

Day 6 April 21, Friday

Free

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

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



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

