

DAY ONE – September 14, 2010

INTRODUCTION TO THE FINANCIAL SERVICES SECTOR

This one day session is designed to provide government partners, academics and private sector stakeholders with a structural overview of the financial services sector. This session will address the financial services sector public/private partnership model, regulatory structure and examination process, wholesale and retail payment systems and financial markets. This session will serve as a prerequisite for the Payment Systems and Financial Markets course on Day Two.

Proposed Agenda

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| 7:30a – 8:00a | Registration and Continental Breakfast |
| 8:00a – 8:30a | Opening Remarks Michael Jackson, Associate Director, Technology Supervision Branch, FDIC |
| 8:30a – 9:00a | The Public/Private Partnership Model Brian Peretti, Program Manager, Office of Critical Infrastructure Protection, U.S. Department of the Treasury (Overview of the FBIIC, FSSCC, FS-ISAC and regional coalitions with a brief discussion on cyber security and R&D initiatives) |
| 9:00a – 10:00a | Financial Services Sector Structure, Regulatory Environment and the Examination Process Marlene Roberts, Senior Specialist Critical Infrastructure Protection, Federal Deposit Insurance Corporation Bradley Beytein, Manager of Operational & IT Risk, Board of Governors of the Federal Reserve System Keith Riley, Office Head, Office of Market Continuity, Securities Exchange Commission Robert Wasserman, Associate Director Clearing Policy, Commodity Futures Trading Commission (Overview of the structure of the financial services sector, financial services regulatory environment and the various examinations processes including FFIEC, SRO and prudential supervision models) |
| 10:00a – 10:15a | Break |

- 10:15a – 11:15a** **Financial Services Sector Structure, Regulatory Environment
And the Examination Process (continued)**
- 11:15a – 12:15p** **Retail Payment Systems**
Robert Drozdowski, Senior Technology Specialist,
Federal Deposit Insurance Corporation
(Overview of credit and debit card infrastructure and networks,
ACH and wire transfer)
- 12:15 – 1:15p** **Lunch (on your own)**
- 1:15p – 2:15p** **Role of the Federal Reserve in the
Financial System**
**Steve Malphrus, Staff Director, Board of
Governors of the Federal Reserve System**
(Overview of the Federal Reserve System as the U.S.
Central Bank)
- 2:15p - 2:30p** **Break**
- 2:30p – 3:30p** **Financial Markets and the Investment Subsector**
**Gordon Fuller, Senior Special Counsel, Office of Market
Operations, Security Exchange Commission**
**Robert Wasserman, Associate Director Clearing Policy,
Commodity Futures Trading Commission**
- 3:30p – 4:30p** **Overview of the Insurance Subsector**
**Ramon Calderon, Director Center for Insurance Policy
and Research, National Association of Insurance
Commissioners**
- 4:30p – 4:45p** **Wrap Up**
- 4:45p** **Adjourn**

DAY TWO – September 15, 2010

FINANCIAL MARKETS AND PAYMENT SYSTEMS

Prerequisite: Introduction to the Financial Services Sector.

This one day course builds on the financial markets and payment systems concept addressed in the Introduction to the Financial Services Sector but provides more in depth coverage of the financial services critical infrastructure. This course will provide a more operational level overview of the domestic and international clearing and settlement processes with a focus on resilience, protection, interdependencies and fraud related issues.

Proposed Agenda

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| 8:00a – 8:30a | Registration and Continental Breakfast |
| 8:30a – 8:45a | Opening Remarks Brian Peretti, Program Manager, Office of Critical Infrastructure Protection, U.S. Department of the Treasury representing the Financial and Banking Information Infrastructure Committee |
| 8:45a – 10:15a | How Exchanges Work Andrew Bach, Senior Vice President & Global Head of Network Services, NYSE Euronext (An overview of domestic and international financial markets including structure, players and operations) |
| 10:15a – 10:30a | Break |

- 10:30a – 12:15p** **Clearing and Settlement Panel**
Moderator: Catherine Moore, Senior Special Counsel,
Clearing and Settlement Office, Securities Exchange
Commission
Mandy Lam, SVP Risk Management, CLS Bank
Joshua Mazen, Senior Financial Services Analyst, Board of
Governors of the Federal Reserve System
Mark Clancy, Managing Director, Chief Information Security,
The Depository Trust Clearing Corporation
Susan Milligan, Senior Vice President, The Options Clearing
Corporation
Robert Wasserman, Associate Director Clearing Policy,
Commodity Futures Trading Commission
(A panel discussion on domestic and international clearing and
settlement processes including SWIFT, CHIPS, and CLS)
- 12:15p – 1:15p** **Lunch (on your own)**
- 1:15p – 2:15p** **Retail Payments Panel**
Moderator: Rob Drozdowski, Senior Technology Specialist,
Federal Deposit Insurance Corporation
Steve Kenneally, Vice President, Center for Regulatory
Compliance, American Bankers Association
Tim Byun, Global Head of CSR, Enterprise Risk, Visa, Inc.
(A panel discussion on domestic retail payment processes with
an emphasis on clearing and settlement)
- 2:15p – 2:45p** **Next Steps**
Brian Peretti, Program Manager, Office of Critical
Infrastructure Protection, U.S. Department of the Treasury
representing the Financial and Banking Information
Infrastructure Committee
- 2:45p** **Adjourn**