Operational Resiliency Industry Perspectives and Compliance Considerations

Wednesday, 13 November 2019 | 8–9:30 a.m.
Breakfast, 8-8:30 a.m. | Program, 8:30–9:30 a.m.

Fordham Law School
Skadden Conference Center
150 West 62nd Street, New York City

CLE credits have been approved in accordance with the requirements of the New York State CLE Board for a maximum of one (1) nontransitional professional practice credit hour.

CLE COURSE MATERIALS
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About the Program

Operational Resiliency is the ability of firms to prevent, respond to, recover and learn from operational disruption. This has been a key focus for Financial Services organizations, given increasing disruptive events, and the core interconnectivity between elements of the financials services system. The capability has had increased supervisory expectations and is becoming a key component of business strategy.

The wide reaching and comprehensive nature of the activities results in increased expectations and importance of ensuing Compliance is proactively performing both a control and advisory role. This timely discussion will bring together both first line business practitioners an engaging conversation on areas of focus.
Yakov Kozlenko  
**Director of Audit and Compliance**  
**NYC Cyber Command (NYC3)**

Yakov Kozlenko joined NYC Cyber Command (NYC3) as a Director of Audit and Compliance in March of 2019. He and his team focus on creating policies and standards, conducting cybersecurity audits, and analyzing and resolving legal and compliance issues pertaining to cybersecurity, privacy and data protection, information discoverability under Freedom of Information Law (FOIL) and more. He is tasked with ensuring compliance of over 150 NYC Agencies with these critical policies and standards.

Prior to coming to NYC3, Yakov worked as a regulator at National Futures Association (NFA) and in various regulatory compliance-related positions at Goldman Sachs, Deutsche Bank, Cantor Fitzgerald and ING Barings. Yakov also practiced Law at Baker Botts LLP and worked as an engineer and a computer programmer.

Yakov holds a Bachelor’s degree in Electrical Engineering from Tashkent Polytechnic University, a J.D. from Tashkent State University School of Law, a Master’s degree in Computer Science from New York University (Polytechnic) and an LLM (Master of Laws) degree in IP Law from Fordham University School of Law.

Jeffrey R. Kuhn  
**Global Head of Enterprise Resiliency Office**  
**Executive Vice President, BNY Mellon**

Jeffrey Kuhn has over 30 years of experience in financial services. He joined BNY Mellon in 1998 and is currently an Executive Vice President and global head of the Enterprise Resiliency Office. He is responsible for ensuring the continuity of BNY Mellon’s businesses and operations.

He has served as the COO for several of the Bank’s global businesses, shared operations across Operations, Chief Administrative Officer for the Global Corporate Trust division and managed numerous key programs including the acquisition of the Corporate Trust business, creating the operations to support the Federal TARP program, and implementing readiness for GDPR compliance. After 9/11, Mr. Kuhn played a key role in the recovery of the Company and then managed Business Continuity and Disaster Recovery for the entire firm.

Mr. Kuhn has held positions in the securities and cash processing divisions at Chase Bank, Chemical Bank and at Bankers Trust Company. He received his Master’s degree from the University of Pennsylvania and Bachelor’s degree from the University of Michigan.

**Bob Mascola**  
**Senior Director, Compliance Programs**  
**Fordham Law School**

Robert Mascola, Senior Director, Compliance Programs, joined Fordham in May 2019, after more than 20 years of working in law and compliance. Bob was Deputy Chief Compliance Officer at the world’s largest gold mining company, Barrick Gold, and before that led the ethics and compliance function for Philip Morris International America’s region and served as the global lead for its anti-corruption program. Before going in house, Bob worked as an antitrust attorney at Arnold & Porter LLP in Washington, where he focused on antitrust litigation, white collar defense, and mergers and acquisitions. Bob currently serves on the Board of Directors of the Ethics and Compliance Initiative, a leading association of Ethics and Compliance professionals.

Bob received his Master in International Affairs at The George Washington University and his JD from Harvard Law School.

Amy Shanle  
**Global Head of Enterprise Resiliency Strategy**  
**Regulatory and Governance, BNY Mellon**

As Global Head of Enterprise Resiliency Strategy, Regulatory & Governance for BNY Mellon, Amy is part of the Enterprise Resiliency Office, a first line office centralizing the oversight of traditional operational resiliency functions. Amy is responsible for developing and driving the firm’s enterprise resiliency strategy, addressing global regulatory resiliency requirements, coordinating with business, technology, and operations to drive strategic operational resiliency improvements, and ensuring effective governance of the bank’s operational resiliency efforts.

Amy joined BNY Mellon in 2018 with over 20 years of experience. Previously, she served in PwC’s Financial Services Risk & Regulatory Advisory Practice helping a wide variety of financial institutions with risk and regulatory compliance efforts and key strategic financial and operational initiatives. Prior to PwC, Amy was a Financial Institutions Analyst at FitchRatings, responsible for assessing risks across loan and investment portfolios, liquidity and capital adequacy, earnings power, franchise value, stress testing and regulatory compliance.

An active participant in several industry forums, Amy is a graduate of Fairfield University and holds a Master’s degree from Lorenzo de’Medici Institute in Florence, Italy.

Chris Thompson  
**Global FS Cyber Risk and Resiliency Lead**  
**Accenture**

Chris Thompson is a Senior Managing Director responsible for Accenture’s Global Financial Services Security and Resilience practice.

Chris has over 25 years of experience in large-scale risk and technology programs, working with some of the world’s leading retail, commercial and investment banks. He has deep expertise in operational risk, financial crime, security, financial architectures, performance management, banking operations and trading.

Chris has a Master’s degree in engineering from Southampton University. He is based in New York.

Hamish Wynn (Moderator)  
**Regulatory and Compliance Practice Accenture**

Hamish Wynn is a Managing Director within Accenture’s Regulatory and Compliance practice. Hamish has a focus on Operational Resiliency and is actively engaged within industry efforts.

Hamish has extensive risk and regulatory change management experience, and partners with top tier Global Financial Services organizations to help transform their business and expand the partnership with Accenture in key areas. Hamish has over 18 years industry and consulting experience.

Hamish holds a Ph.D. in Chemistry from the University of Cambridge and is based in New York.