

Seminar in English

Main Features and Practical Implications of MaRisk Navigating German risk management requirements

- **Minimum Requirements for Risk Management (MaRisk) – An overview**
Marijan Nemet | Deloitte GmbH Wirtschaftsprüfungsgesellschaft
 - **The compliance function**
Prof. Dr. Bernd Geier | Bryan Cave Leighton Paisner LLP
 - **Risk controlling and risk reporting**
Jürgen Siegl | Ernst & Young GmbH Wirtschaftsprüfungsgesellschaft
 - **Minimum requirements for the structure of the internal audit**
Thomas Hommel | GAR Gesellschaft für Aufsichtsrecht und Revision mbH
 - **Outsourcing**
Dr. Caroline Herkströter | Norton Rose Fulbright LLP
 - **Credit business regulations**
Benjamin Münch and Anja Fischer | PricewaterhouseCoopers
 - **Trading and trading processes**
Dirk Auerbach | Geissbühler Weber Group
 - **The new MaRisk 2020**
Dr. Verena Ritter-Döring | Curtis, Mallet-Prevost, Colt & Mosle LLP
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Moderation

Nina Weidinger | Association of Foreign Banks in Germany

Thursday, 20 February 2020, 08:30 am – 17:00 pm

DVFA Conference Center
Mainzer Landstraße 37-39 | 60329 Frankfurt am Main



About the seminar:

The Minimum Requirements for Risk Management represent a central regulatory framework among the regulatory provisions in the area of German banking supervision. In particular, bank employees who have newly arrived in Germany, e.g. in the course of the Brexit preparations, will quickly discover that they encounter MaRisk in almost every area of their work.

This seminar is held in English and intended to give an insight into the basics of MaRisk. In addition to structure and organisation, the main core areas and principles of MaRisk will be discussed and an outlook on the coming amendments to MaRisk this year will be given.

The seminar is designed for the needs of those who are not yet familiar with MaRisk, as well as those interested in banking supervision.

Registration

You can register on the homepage of the Association. **Deadline for registration : 13 February 2020**

[Please click here](#)

Terms and conditions

Participation Fee:

EUR 700 [for [Association members](#)]

EUR 900 [for other participants]

This includes conference documents, catering during breaks and refreshments. For subscribers with a domestic billing address, the fees include 19 % VAT. Registrations will be considered in a chronological order. From the third participant per institution we grant a discount, please contact us.

The registration is binding. After receipt of the registration a confirmation will be sent. A processing fee of EUR 119 will be charged for cancellations made before the registration deadline. For participants with a domestic billing address, this fee includes 19 % VAT. In the case of cancellation after the registration deadline or non-participation, the entire participation fee will be charged. Representation of the registered participant is possible without additional costs. In principle, only the entire event and not individual parts of it can be booked. Programme is subject to change due to current events.

Agenda

08:30 am - 08:55 am: Breakfast Reception

08:55 am – 09:00 am: Welcome

09:00 - 09:45

Minimum Requirements for Risk Management (MaRisk) – An overview

Marijan Nemet | Deloitte GmbH Wirtschaftsprüfungsgesellschaft

- MaRisk as a part of European regulation and SSM
- MaRisk – Concept and framework
- MaRisk – Key requirements
- Proportionality as a challenge and a chance
- Year-end audit and reporting requirements

09:45 - 10:30

The compliance function

Prof. Dr. Bernd Geier | Bryan Cave Leighton Paisner LLP

- Overview tasks & duties – KWG, WpHG, etc.
- Defining the function: advisor, reviewer, etc.
- Independence, compliance-report and escalation
- Recent developments & outlook

10:30 am - 11:00 am: Coffee Break

11:00 - 11:45

Risk controlling and risk reporting

Jürgen Siegl | Ernst & Young GmbH Wirtschaftsprüfungsgesellschaft

- Risk control function
 - Definition of the function
 - Overview of tasks & duties
- Risk reporting
 - Overview general reporting requirements
 - Overview reporting requirements of the risk control function
- Opening clauses - Risk control function and risk reporting



11:45 - 12:30

Minimum requirements for the structure of the internal audit

Thomas Hommel | GAR Gesellschaft für Aufsichtsrecht und Revision mbH

- Organizational setup
- Audit planning and conduct
- Reporting and follow up
- Possibilities for outsourcing and integration of group internal audit

12:30 pm - 13:30 pm: Lunch

13:30 - 14:15

Outsourcing

Dr. Caroline Herkströter | Norton Rose Fulbright LLP

- The concept of outsourcing
- The scope of MaRisk
- Governance
- The outsourcing agreement
- The central outsourcing management
- Intragroup outsourcing

14:15 - 15:00

Credit business regulations

Benjamin Münch and Anja Fischer | PricewaterhouseCoopers

- The context of MaRisk in relation to credit business
- Existing regulatory requirements at european level for the credit business
- Exemption clauses and simplifications for small banks
- Challenges for incoming banks, in particular: monitoring of loans and early detection of credit risks, submission of exposures to intensified loan management, treatment of forbearance measures

15:00 pm - 15:30 pm: Coffee Break

15:30 - 16:15

Trading and trading processes

Dirk Auerbach | Geissbühler Weber Group

- Segregation of duties
- Requirements relating to trading processes
- Settlement and control
- Capturing and controlling risk
- Mistakes

16:15 - 17:00



The new MaRisk 2020

Dr. Verena Ritter-Döring | Curtis, Mallet-Prevost, Colt & Mosle LLP

- Why does it need an amendment?
- What changes in the outsourcing regime?
- Management of sustainability risks - what is to be expected?
- New regulations for dealing with non-performing loans (NPL) and prohibited exposure: What are the new process requirements?
- What is new in credit monitoring: What standards will have to be observed in the future in credit assessment and internal governance rules for the granting and monitoring of loans?

17:00 pm: Closing Discussion