

Published Works and Speeches by James Lam

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5. "Emerging Best Practices in Developing Key Risk Indicators and ERM Reporting" Executive White Paper, Cognos, January 2007
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9. "An Enterprise-wide Approach to Operational Risk Management," Risk Management Business (Japanese) November 2005
10. "Best Practices in Developing an ERM Dashboard," The RMA Journal, October 2005
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13. "A Question-and-Answer Session with Dr. Lam," Risk Management Business (Japanese), July 2005
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List of Speeches and Seminars

1. U.S. AgBank, Annual Stockholders Meeting, Board Training on Economic Capital and Enterprise Risk Management, March 27, 2008, San Francisco, CA
2. Federal Home Loan Bank System, Chief Risk Officer Conference, March 5, 2008, Cincinnati, Ohio
3. Federal Home Loan Bank of Cincinnati, Senior Staff Meeting, March 4, 2008, Cincinnati, Ohio
4. Villanova University, MBA Class on Enterprise Risk Management, December 15, 2007, Webcast
5. Standard & Poor's, ERM Summit, Keynote address, December 13, 2007, New York, NY
6. Federal Home Finance Board, Office of Supervision 2007 Annual Conference, December 12, 2007, Washington, DC
7. Society of Actuaries, Capital Efficiency Seminar, Economic Capital Management, November 7, 2007, Atlanta, Georgia
8. OpenPages User Symposium, Operational Risk Management, October 25, 2007, Boston, MA
9. Federal Home Loan Bank System, SOX and ERM/Risk Assessment Conference, September 12, 2007, Cincinnati, Ohio
10. World Bank/International Finance Corporation, Financial & Private Sector Development Forum, Modern Risk Management: How Banks Succeed or Fail, April 26, 2007, Washington, DC
11. Enterprise Risk Management Symposium, General Session: View from the Top, March 29, 2007, Chicago, Illinois
12. Enterprise Risk Management Symposium, Beyond Basel II: Leveraging Economic Capital to Achieve Strategic Objectives, March 29, 2007, Chicago, Illinois
13. IBM/Cognos Executive Breakfast Briefing, Emerging Best Practices in ERM Dashboard Reporting, March 28, 2007, Toronto, Canada
14. Forbes, Small Business Roundtable, March 26, 2007, New Orleans, Louisiana
15. IBM/Cognos Webcast, Emerging Best Practices in ERM Dashboard Reporting, February 28, 2007
16. PRMIA Institute, Operational Risk Management Workshop, December 15, 2006, Washington, DC
17. China Banking Association, Enterprise Risk Management at Asian Banks- From Challenges to Strategies, November 23, 2006, Keynote Presentation, Beijing, China
18. Risk Management Conference, Enterprise Risk Management (ERM)- Key Challenges and Opportunities for Asian Banks, November 21, 2006, Keynote Presentation, Singapore
19. Cognos, Emerging Best Practices in KRIs and ERM Reporting, October 26, 2006, Keynote Presentation, New York, New York
20. OpenPages User Symposium, Introduction to Enterprise Risk Management, October 18, 2006, Boston, Massachusetts

21. Investors Bank and Trust, Enterprise Risk Management, September 22, 2006, Keynote Presentation, Boston, Massachusetts
22. Jakarta Risk Management Convention, Implementing Enterprise Risk Management at State Owned Enterprises, August 30-31, 2006, Jakarta, Indonesia
23. Jakarta Risk Management Convention, Challenges for Indonesian Banking Industry, August 30-31, 2006, Keynote Presentation, Jakarta, Indonesia
24. OCEG IT Forum 2006, Enterprise Risk Management, May 9, 2006, Boston, Massachusetts
25. OCEG IT Forum 2006, Role of Technology in Enterprise Risk Management, May 9, 2006, Boston, Massachusetts
26. Enterprise Risk Management Symposium, General Session: View from the Top, April 24, 2006, Chicago, Illinois
27. Enterprise Risk Management Symposium, ERM Technology: Advanced Risk Measurement and Decision Support, April 24, 2006, Chicago, Illinois
28. Business Finance Magazine, Enterprise Risk Management Web Cast, April 12, 2006
29. Risk Management Association, Boston Chapter, Enterprise Risk Management, February 8, 2006, Boston, Massachusetts
30. The Federal Reserve, Enterprise Risk Management Workshop, January 12, 2006, Cleveland, Ohio
31. Operational Risk Forum, Best Practices in Operational Risk Management, November 10, 2005, Washington DC
32. OpenPages User Symposium, Key Trends and Success Factors: ERM & ORM, October 27, 2005, Boston, Massachusetts
33. Bank of China, Board of Directors Training Program, October 21, 2005, Beijing, China
34. Buy Side Risk Committee, Enterprise Risk Management, September 12, 2005, New York, New York
35. Terrapinn, Enterprise Risk Management 3-day Master Class, August 16-17, 2005, Singapore
36. Cleveland Federal Reserve Bank, Best Practices in ERM, June 20, 2005, Cleveland, Ohio
37. The World Bank, Advanced Risk Management, June 17, 2005, Washington, DC
38. Risk USA, Best Practice in Key Risk Indicators and ERM Reporting, June 7, 2005, Boston, MA
39. ERM Symposium, Frontline Briefing on ERM, May 2, 2005, Chicago, Illinois
40. ERM Symposium, ERM Dashboard, May 2, 2005, Chicago, Illinois
41. Global Risk Summit, Effective Operational Risk Management and Reporting, April 28, 2005, Monaco
42. Bank of China, Board and Senior Management – Enterprise Risk Management Workshop, April 23, 2005, Hong Kong, China

43. Bank of China, Middle Management – Enterprise Risk Management Workshops, April 22, 2005, Hong Kong, China
44. Bank of China, Risk Management Professionals – Enterprise Risk Management Workshops, April 20-21, 2005, Hong Kong, China
45. Corporate Executive Board, Maximizing Value Through Enterprise Risk Management, April 5, 2005, New York, New York
46. Chicago FHLB, Operational Risk Management Training, March 28, 2005, Chicago, Illinois
47. ASSE Using Risk Principles, Enterprise Risk Management, March 24, 2005, San Diego, CA
48. United Health Group, Enterprise Risk Management: Beyond Compliance, March 8, 2005, Minnetonka
49. Federal Reserve System, ERM Dashboard Webcast, February 14, 2005, Boston, MA
50. OCBC Board of Directors Training, Enterprise Risk Management Seminar, January 31, 2005, Singapore
51. Federal Reserve System, ERM Videoconference, December 9, 2004, Philadelphia, PA
52. Forrester Research, Executive Strategy Forum, November 4, 2004, Boston, MA
53. The Hartford Risk Managers Council, Keynote Speech, October 18, 2004, Colorado Springs, CO
54. OpenPages User Symposium, Keynote Speech, Babson College Executive Center, October 12, 2004, Boston, MA
55. Keppel Corporation, Enterprise Risk Management Forum, July 19, 2004, Singapore
56. Enterprise-wide Risk Management Masterclass (MAS, Keppel, GIC), July 20-23, 2004, Singapore
57. Enterprise-wide Risk Management Masterclass (open enrollment), July 26-29, 2004, Singapore
58. Hartford Society of Actuaries, Annual Meeting, Keynote Speech, June 8, 2004, Hartford, CT
59. Federal Reserve, Enterprise Risk Management Conference, May 24-25, 2004, Philadelphia
60. Acumen Information Services, ERM Conference, Keynote Speech, May 18, 2004, Toronto, Canada
61. Acumen Information Services, ERM Workshop, May 17, 2004, Toronto, Canada
62. World Trade Group, CFO Summit, General Presentation, April 21, 2004
63. Boston University, MBA class lecture, February 23, 2004
64. Society of Actuaries, ERM Webcast, December 9, 2003
65. Universal Network Intelligence, Enterprise-wide Risk Management 2-Day Workshop, October 16-17, 2003, Shanghai, China
66. Universal Network Intelligence, Enterprise-wide Risk Management 2-Day Workshop, October 13-14, 2003, Singapore
67. Ascential Software, ERM Webcast, September 10, 2003

68. Society of Actuaries, ERM in Banking Panel and CRO Roundtable, Enterprise Risk Management Seminar, July 29-30, 2003, Washington D.C. Capital Hilton
69. Federal Reserve System, Enterprise-wide Risk Management, April 23, 2003, Philadelphia, PA
70. California Bankers Association, Enterprise-wide Risk Management, March 26, 2003, Rancho Mirae, California
71. Universal Network Intelligence, Enterprise-wide Risk Management 2-Day Workshop, February 21-22, 2003, Singapore
72. IQPC, Workshop: Designing and Implementing an Enterprise Management Program, October 2, 2002, Chicago, IL
73. IQPC, Enterprise-wide Risk Management, October 1, 2002, Chicago, IL
74. RMA, Annual Conference, Enterprise-wide Risk Management, September 23, 2002, Salt Lake City, UT
75. PRMIA, Creating Value Through Enterprise Risk Management, June 27th, 2002, Montreal, Canada
76. Risk Management Association, Realizing the Value of Enterprise-wide Risk Management, June 10th, 2002, Boston, MA
77. RMA, Annual Conference on Capital Management, June 5-7th, 2002, Washington, DC
78. New York University, The Future of Risk Management, March 27, 2002, New York, New York
79. CFO Executive Programs, The Future of Business Risk Management (Keynote), March 26, 2002, New York, New York
80. University of Georgia, Value-based Risk Management (Keynote), March 7, 2002, Atlanta, Georgia
81. The Institute of Internal Auditors, Enterprise Risk Management Seminar, January 14, 2002, Toronto, Canada
82. International Quality & Productivity Center, Enterprise Risk Management, December 11-13, 2001, Toronto, Canada
 - Keynote Address
 - Full day workshop
83. GARP NYC Regional Meeting, November 27, 2001, NYC.
84. Economist Conferences, 3rd Annual Global Risk Management Summit, July 25-26, 2001, Chicago, IL
 - Speaker *Best Practices in Enterprise Risk Management*
85. International Association of Financial Engineers, 10th Annual Conference, July 2-3, Sophia Antipolis, France
 - Panelist: *New methods to evaluate operational risk controls*
86. GARP Midwest Meeting, May 30, 2001, Chicago, IL
87. Marcus Evans, Advanced Credit Risk Management & Mitigation, June 20-21 2001, New York, NY
88. International Quality & Productivity Center, Enterprise Risk Management, May 28-29, Toronto, Canada

- Keynote address
89. International Association of Financial Engineers, March 14, 2001, NYC
 - Panelist: Operational Risk Committee – *How can firms determine the effectiveness of their operational risk controls?*
 90. GARP Annual Convention, February 13, 2001, NYC
 - Speaker *All Bets are on: Enterprise Risk Management*
 91. ABS West, February 7, 2001, Arizona
 - Panelist
 92. International Quality & Productivity Center, eRisk Management, November 7, 2000, San Francisco, CA.
 - Keynote Speech *Managing Enterprise Risk in the Internet Age*
 93. GARP – Asia, International Conference on Financial Globalization and Risk Management, October 27, 2000, Beijing, China.
 - Keynote Speech *Enterprise Risk Management and Key Challenges for China*
 94. Marcus Evans (FINSTRA), Chief Risk Officer Conference, October 25, 2000, NYC.
 - Speaker *Examining the Form, Function and Governance of the Chief Risk Officer*
 95. International Association of Financial Engineers, Annual Membership Meeting and Conference, October 12, 2000, NYC.
 - IAFE Operational Risk Committee: Initiatives for 2000 and 2001: How Should You Determine the Efficacy of Your Operational Risk Controls?
 96. Risk Magazine, Credit Risk Summit, Integrating Market Risk and Credit Risk for Effective Risk Measurement and Management, October 11, 2000, London.
 97. Risk Magazine, Credit Risk Summit, Integrating Market Risk and Credit Risk for Effective Risk Measurement and Management, September 29, 2000, NYC
 98. FRB Boston, Examiner Training Conference, September 14, 2000, Boston.
 - Speaker *Enterprise Risk Management*
 99. eRisks, iConference, NY, September 13, 2000
 - Role of the Chief Risk Officer
 100. Chase Institute, Transforming New Economy into Opportunity, August 2, 2000, NYC.
 - Panelist Practical Analysis of Risk Management Case Studies
 101. Risk Teleconference, July 28, 2000
 - Panelist *Tools for Managing Enterprise Risk*
 102. WRA Group, Tools for Managing Enterprise Risk Teleconference, July 24, 2000
 103. CFO Risk Forum, June 29, 2000, NYC.
 - Keynote Presentation *The Evolving Role of Chief Risk Officer*
 104. Global Financial Industry Forum, Managing Operational Risk & Improving Efficiency in your Operations, Payments & Settlements, June 28, 2000, Juan les Pins, France.
 - Speaker *The Internet and Enterprise Risk Management*

105. Investment Risk Institute, Identifying Operations Risk, June 13, 2000, Boston, MA
106. FOW, Derivatives Expo, May 17, 2000, NYC.
- Speaker *Managing Risks in the Internet Age*
107. Liberty Mutual 8th Annual Conference, Chicago, October 11, 1999
- *The Chief Risk Officer...An Idea Whose Time Has Come?*
108. National Investment Company Service Association, Boston, October 27, 1998
- Keynote Address: *The Role of Compliance Within Enterprise Risk Management*
109. Enterprise Risk Management in Financial Institutions, ICM, August 24, 1998
- Speaker: *Migrating Toward an Enterprise-wide Risk Strategy*
110. International Quality & Productivity Center, Washington, DC, July 15, 1998
- Speaker: *Implementing an Enterprise-Wide Risk Management Program*
111. ERC Frankona Reinsurance A/S, Copenhagen Summer Event, June 16, 1998
- Speaker: *Enterprise-Wide Risk Management*
112. American International Group, Inc. Risk Management Advisory Board Meeting, June 11, 1998
- Speaker: *The Role of the Chief Risk Officer*
113. Capital Markets Credit Analysts Society's Ninth Annual Dinner, June 8, 1998
- Featured Speaker: *Role of the Credit Professional in Firmwide Risk Management*
114. The Economist Intelligence Unit/Arthur Andersen Study, Press Conference, June 2, 1998
- Speaker: *Managing Business Risks in the Information Age*
115. Harvard Business School, April 23, 1998
- Speaker: *Case Study*
116. Investment Company Institute, April 22, 1998
- Speaker: *Exploring Capacity Planning Issues in the Mutual Fund Industry*
117. The Conference Board of Canada, March 26, 1998
- Speaker: *The Risk Champion*
118. The Economist Intelligence Unit/Arthur Andersen Study, Press Conference, February 10, 1998
- Speaker: *Managing Business Risks in the Information Age*
119. Global Association of Risk Professionals, December 2, 1997
- *Acceptance Speech- Financial Risk Manager of the Year 1997*
120. The Conference Board of Canada, November 4-5, 1997
- Speaker: *Integrating Risk Management: Case Studies*
121. DERIVCON 97, 1997 North American Event, October 21, 1997
- Speaker: *Assessing the Feasibility and Effectiveness of Developing a Firm-Wide Integrated Risk Management Function*
122. Financial Management Association International 1997 Annual Meeting, October 17, 1997
- Speaker: *Managing Risk: From Theory to Practice*

- 123.The Economist Intelligence Unit: Thought Leadership Panel, September 30, 1997
 - Panel Member: *Managing Business Risks in the Information Age*
- 124.International Association of Financial Engineers, September 23, 1997
 - Speaker: *Contemporary Risk Management Issues, Firm-Wide Risk Management*
- 125.Global Association of Risk Professionals (GARP), June 20, 1997
 - Speaker: *Integrating Operational Risk into Firmwide Risk Management*
- 126.International Quality & Productivity Center
- 127.Performance Measurements for Strategic Planning, May 20-21, 1997
 - Speaker: *Measuring the Impact of Business Risk on Your Strategic Plan*
- 128.City University of Hong Kong, May 8, 1997
 - Speaker: *Best Practices in Firmwide Risk Management*
- 129.35th Risk and Insurance Management Society (RIMS) Annual Conference & Exhibition, April 13-18, 1997
 - Speaker: *The Emergence of the Chief Risk Officer*
- 130.Third Annual Conference and Member Meeting of End-Users of Derivatives Association, April 10-11, 1997
 - Panel Member: *Risk Management Strategies for Pension and Other Investment Entities. Are New Risk Management Standards Emerging?*
- 131.Freddie Mac, February 10, 1997
 - Guest Speaker: *Firm Wide Management*
- 132.General Motors Investment Management Corp., January 31, 1997
 - Speaker: *Risk Management*
- 133.Amoco, *Best Practices in Risk Management*, November 18, 1996, Chicago, IL
- 134.Guest Speaker: FMA Annual Conference, October 11, 1996
 - Speaker: *Integrating Risk Management & Controls into Business Processes*
- 135.Harvard University, Global Asset Management Institute, September 26, 1997
 - Speaker: *Managing Risk*
- 136.Financial Technology Conference, Wall Street & Technology Building the 21st Century Enterprise, September 17-19, 1996
 - Speaker: *Developing an Enterprisewide Risk Management System*
- 137.Coopers & Lybrand Partners Meeting, July 1, 1996
- 138.Deloitte & Touche, National Financial Services Industries Conference, June 26, 1996
 - Speaker: *Integrating Risk Management in the Financial Services Industries*
- 139.Institute for International Research, Optimizing Risk Performance Through An Integrated Approach, November 28-30, 1995.
 - Speaker: *Derivatives 95*

140. Institute for International Research, Minimizing & Managing Credit Risk for OTC Derivatives, June 26, 1995
 - Keynote Address: *How to Manage Credit Risk of OTC Derivatives in an Integrated Risk Management Organization*
141. Institute for International Research, Successfully Integrating Risk Management Strategies, April 26, 1995
 - Keynote Address: *Successfully Building an Integrated Risk Management Organization*
142. Financial Advisory Council, Firm-Wide Risk Management, April 5, 1995
 - Conference Chairman
 - Speaker: *Enterprise Wide Risk Management at FGIC: A Case Study*
143. Global Business Research, Stress Testing, March 27, 1995
 - Speaker: *Integrating Risk Management Into Your Organization*
144. International Business Communications, Monitoring, Measuring and Managing Risk Through Stress Testing, January 24, 1995
 - Speaker: *Using Risk-Management Systems as Tools to Build a Robust Portfolio*
145. National Options & Futures Society, January 12, 1995
 - Featured Speaker: *Integrated Risk Management*
146. International Business Forum, New Derivative Products: Exploiting the Opportunities, Avoiding the Pitfalls, December 6, 1994
 - Speaker: *Measuring and Managing the Risks of a Portfolio of Assets, Liabilities, and Derivatives*
147. Executive Enterprises, Risk And Derivatives: A Focus on Interest Rate and Currency Swaps, October 18, 1994
 - Speaker: *The Integrated Risk Management Organization*
148. Financial Management Association, Managing Financial Institution Risks, October 12-15, 1994
 - Speaker: *An Integrated Organizational Approach*
149. Financial Advisory Council, Derivative Risk Technology for End Users, September 12-13, 1994
150. Conference Chairman
 - Speaker: A Case Study: *Developing and Implementing an Integrated Technology Strategy*
151. Financial Advisory Council, Operations, Accounting, Compliance & Technology for Exotic Options, July 26-27, 1994
 - Conference Chairman
 - Speaker: *Risk Management & Applications*
152. Executive Enterprises, World Class Use and Management of Derivatives, June 7, 1994
 - Speaker: *Re-Engineering The Risk Management Function*
153. Institute for International Research, Credit Risk for OTC Derivatives, May 23, 1994
 - Speaker: *Developing an Integrated Credit Risk Management Strategy for OTC Derivatives*
154. Institute for International Research, Risk Management Strategies for OTC Derivatives, February 23, 1994
 - Speaker: *Best Practices for Integrated Risk Management*

155. Financial Advisory Council, Derivative Risk Management Technology, January 19, 1994
 - Speaker: *Managing the Multiple Dimensions of Risk*
156. Institute for International Research, Performance Measurement for Derivatives, December 7, 1993
 - Speaker: *Integrated Risk Management: A New Paradigm for Risk Measurement & Management*
157. Institute for International Research, AAA Special Purpose Vehicles, April, 1993
 - Speaker: *Key Business Decisions when Organizing a Triple-A Rated Special Purpose Vehicle*
158. Institute for International Research, Performance Measurement for Derivatives, December, 1992
 - Speaker: *Managing a Derivative Products Business from a Risk-Adjusted Return Perspective*
159. GE Capital Asset Management Corporation, Senior Management Conference, June, 1992
 - Guest Speaker: *Credit Risk Management: Issues and Opportunities*
160. Mortgage Bankers Association, Risk Management Seminar, February, 1990
 - Speaker: *Setting Up a Hedge Directive*
161. California League of Savings Institutions, Funds Management Conference, November, 1989
 - Speaker: *Balance Sheet Management*
162. California Society of CPAs, Banking Industry Conference, September, 1989
 - Speaker: *Asset/Liability Management*
163. California League of Savings Institutions, Hedging School, July, 1989
 - Speaker: *Meeting the TB-13 Challenge*
164. California League of Savings Institutions, Interest Rate Risk Seminar (TB-13), June, 1989
 - *Industry Panel*
165. Touché Ross Presentation, December, 1988
 - Guest Speaker: *Advance Asset/Liability Management*
166. California League of Savings Institutions, Funds Management Conference, November, 1988
 - Speaker: *From Profit Goals to Risk Management*
167. Asset/Liability Management Association of Arkansas, First Annual Conference, September, 1988
 - Keynote Speaker: *Risk Management and Hedging*
168. National League of Savings Institutions, National Mortgage Conference, September, 1988
 - Speaker: *An Institutional and Analytical Framework for Rate Risk Management*
169. California League of Savings Institutions, Western Secondary Mortgage Market Conference, July, 1988
 - Speaker: *A Case Study on Asset/Liability Management*
170. International Savings Bank, Board of Directors Presentation, March, 1988
 - Guest Speaker: *Board Oversight and Responsibilities for Risk Management*
171. California League of Savings Institutions, Funds Management Conference, November, 1987
 - Speaker: *Comparisons of Gap, Simulation, and Duration Analyses*
172. California League of Savings Institutions, Western Secondary Mortgage Market Conference, July, 1987

- Speaker: *Managing Interest Rate Risk*

173. Financial Managers Society, June, 1987

- Speaker: *Asset/Liability Management -- A Case Study*

174. Federal Home Loan Bank of San Francisco, Thrift Hedging Seminar Series (3 Sessions), March-April, 1987

- Speaker: *Measuring and Monitoring Interest Rate Risk: Net Interest Income and Gap Analysis*