



AML 2018

ANTI-MONEY LAUNDERING & FINANCIAL CRIMES CONFERENCE

FEBRUARY 12-13, 2018 | MARRIOTT MARQUIS, NEW YORK CITY

PROGRAM

Monday February 12, 2018 **Tuesday** February 13, 2018

7:30AM – 5:30PM

Registration Desk Hours

7:30AM – 8:30AM

— **Networking Breakfast**
Sponsored by [Gibson Dunn & Crutcher LLP](#)

8:30AM – 8:40AM

— **Welcome Remarks**

SPEAKER



Ira D. Hammerman
Executive Vice President & General Counsel
[SIFMA](#)
[Biography](#)

8:30AM – 4:10PM

— **General Session Audio Visual**
Sponsored by [Thomson Reuters](#)

8:40AM – 9:10AM

— **Keynote Address**

SPEAKER



Susan A. Schroeder
Executive Vice President and Head of Enforcement
[FINRA](#)
[Biography](#)

9:10AM – 10:25AM

— **Regulatory and Examination Priorities 2018**
Hear directly from industry regulators about their priorities for 2018. Discussion topics will include regulatory and examination expectations for the year and the panelists' perspectives on key issues impacting both financial firms and policy makers in the current AML and financial crime environment.

MODERATOR



Katrina A. Carroll
Executive Vice President and Chief Anti-Money Laundering Officer
[LPL Financial LLC](#)
[Biography](#)

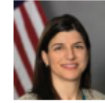
PANELISTS



Stephanie L. Brooker
Partner
[Gibson, Dunn & Crutcher](#)
[Biography](#)



Jeremy Kuester
Deputy Associate Director,
Policy Division
[Financial Crimes
Enforcement Network
\(FinCEN\)](#)
[Biography](#)



Akrivi Mazarakis
Branch Chief, Office of
Chief Counsel, Office of
Compliance Inspections
and Examinations (OCIE)
[U.S. Securities and
Exchange Commission](#)
[Biography](#)



Michael Rufino
Executive Vice President,
Head of Member
Regulation - Sales Practice
[FINRA](#)
[Biography](#)

10:25AM – 10:50AM

Networking Break

Sponsored by [ACA Compliance Group](#)

10:50AM – 12:05PM

Beyond 2018: The Future of AML

As we and our regulators react to changes in the cyber landscape, the increase in senior investors, and new rules like CDD, we are challenged with looking into the future of AML. This panel will discuss some of the challenges we face and explore current and future efforts that financial institutions, regulators and policy makers are considering as our marketplace continues to evolve.

MODERATOR



Jeffrey Weiss
Managing Director & Chief
Anti-Money Laundering
Officer
[TD Ameritrade, Inc.](#)
[Biography](#)

PANELISTS



Dale Choi
Financial Engineer
[U.S. Securities and
Exchange Commission](#)
[Biography](#)



Thomas Iverson
Senior Policy Advisor
[U.S. Department of the
Treasury](#)
[Biography](#)



Satish M. Kini
Partner
[Debevoise and Plimpton](#)
[Biography](#)



Bill Nosal
Vice President – Business
Strategy and Development
Market Technology
[NASDAQ](#)
[Biography](#)

12:05PM – 1:15PM



Networking Luncheon

Sponsored by [Davis Polk & Wardwell LLP](#)

1:15PM – 2:30PM



Breakout 1A – Current State of Russia and Venezuela Sanctions: Development of a Risk-Based Control Framework

The Office of Foreign Assets Control and other sanctions authorities have increased their use of capital markets-focused sanctions such as the Russia/Ukraine sectoral sanctions and the recently deployed Venezuela sanctions. This panel of industry experts and practitioners will discuss the current prohibitions and authorizations and how guidance is being applied in this highly complex and evolving area. How do these restrictions differ across jurisdictions globally? How are these sanctions likely to evolve? What are tension points for compliance teams within large sophisticated financial institutions? The panel will consider these questions and provide valuable insight on developing an appropriate control framework to ensure ongoing compliance.

MODERATOR



Jonathan Thomas
Head of Sanctions Group
[Goldman, Sachs & Co.](#)
[Biography](#)

PANELISTS



Dorothy Bennett
Managing Director – Global Sanctions Compliance
[JPMorgan Chase & Co.](#)
[Biography](#)



Sahand BoorBoor
Managing Director, Global Economic Sanctions Executive
[Bank of America Merrill Lynch](#)
[Biography](#)



Jeanine P. McGuinness
Counsel
[Davis Polk & Wardwell LLP](#)
[Biography](#)



Breakout 1B – The Annual Independent Audit: How to Run It and How to Survive It

This panel will highlight some ideas, tips and trends in conducting the annual BSA/AML independent test. Hear the perspectives of both those conducting the audit and those being audited.

MODERATOR



John Davidson
Senior Vice President & Global Head of Anti-Money Laundering
[E*Trade Financial](#)
[Biography](#)

PANELISTS



Clayton Mitchell
Governance, Risk and Compliance Principal
[Crowe Horwath LLP](#)
[Biography](#)



Randy L. Tripp
Managing Director, General Auditor
[TD Ameritrade Holding Corporation](#)
[Biography](#)



Kate Valleau
Vice President, Internal Audit
[Raymond James Financial, Inc.](#)
[Biography](#)

Breakout 1C – Partner Workshop: Penny Wise: OTC Markets, Legal/Regulatory Developments and Canadian Microcap Risk Mitigation

Sponsored by [OTC Markets](#) In this session, OTC Markets will provide an overview of promotion in the OTC and small cap listed markets, as well as new promotion data tools and policies for QX, QB and Pink issuers. Other trending OTC topics including Shell Risk data, Service Provider information and Cryptocurrencies will also be addressed. Additionally, the session will recap key microcap enforcement actions that the SEC and FINRA brought in 2017 and discuss microcap trends as reflected in the SEC's and FINRA's 2018 regulatory and examination priorities letters. Finally, the panel will provide an overview of the Canadian microcap space (current state, trends) along with some suggestions on mitigating microcap risk.

MODERATOR



Jay M. Lippman
Managing Director
[Exiger LLC](#)
[Biography](#)

PANELISTS



Matthew Fuchs
Executive Vice President,
Market Data
[OTC Markets Group, Inc.](#)
[Biography](#)



John Thorpe
Associate Director, Anti-
Money Laundering
Compliance Officer, US
Capital Markets
[RBC Capital Markets, LLC](#)
[Biography](#)



Brian Walsh
Director, Anti-Money
Laundering Officer and
Chief Compliance Officer
[Pershing Securities
Canada Limited](#)
[Biography](#)

2:30PM – 2:55PM

Networking Break

Sponsored by [Merlon Intelligence](#)

2:55PM – 4:10PM

Breakout 2A – Anti-Bribery / Anti-Corruption: What Are Your Firms' Risks When Your Clients Are Implicated?

Anti-bribery and anti-corruption efforts continue to make news, from SEC and international enforcement cases, to domestic corruption, to coverage of the Panama and Paradise Papers leaks, to corrupt regimes around the world. What are the reputational risks to your firm of doing business with clients who are in the news? What is your legal exposure? What are the legal and regulatory requirements and expectations with respect to your compliance programs? This panel will consider these questions, discuss implications across a firm's business activities, including underwriting and private equity, and address effective linkages between AML and anti-bribery programs.

MODERATOR



Catherine (Cathy) A. LaFalce
Managing Director and
Global Head of AML
Compliance Risk
Management, Markets and
Banking
[Citi](#)
[Biography](#)

PANELISTS



Deborah Buchanan
Vice President,
Compliance and Global
Head, Anti-Bribery/Anti-
Corruption Compliance
[Prudential](#)
[Biography](#)



Daniel S. Ruzumna
Partner
[Patterson Belknap Webb &
Tyler LLP](#)
[Biography](#)



Jeremy Warren
Head of Global Financial
Crimes Compliance,
Corporate & Investment
Bank
[JPMorgan Chase & Co.](#)
[Biography](#)

Breakout 2B – Cyber-Related Events and Suspicious Activity Reporting

As cyber threats evolve, policy makers are increasingly focused on the impact of cyber-related crime on our firms. This panel will discuss the intersection of cyber and AML for financial institutions, including regulatory requirements and expectations related to the reporting of cyber events.

MODERATOR



Elizabeth "Paige" Baumann

Senior Vice President,
Chief Anti-Money
Laundering Officer

[Fidelity Investments](#)
[Biography](#)

PANELISTS



Kelly D. Gentenaar

Vice President and Deputy
AML Officer

[E*Trade Financial
Corporation](#)
[Biography](#)



Sarah D. Green

Chief Financial Crimes
Officer

[Vanguard Group, Inc.](#)
[Biography](#)



Gary Novis

Director for the Office of
Strategic Policy

[Financial Crimes
Enforcement Network
\(FinCEN\)](#)
[Biography](#)



Seetha Ramachandran

Partner

[Schulte Roth & Zabel LLP](#)
[Biography](#)

Breakout 2C – Partner Workshop: Using AI to Accelerate Customer Screening, While Reducing Customer Risk

Sponsored By [Merton Intelligence](#) Merton Intelligence is a global compliance software firm supporting the financial services industry. Built by a world-class team of machine learning and compliance leaders, our mission is to deliver a full suite of AI-driven product offerings that support the needs of financial institutions in the area of financial crimes compliance. Using artificial intelligence and machine learning, our software transforms how customers are on-boarded, compliance risk is assessed and introduces intelligence into the screening and monitoring processes used by leading financial institutions around the world. In this workshop you'll learn how artificial intelligence (AI) is being used to help accelerate customer on-boarding and related screening processes. From automatically aggregating industry sources, to accumulating knowledge and intelligently assessing customer risk, AI is now providing previously unimaginable automation and intelligence to the KYC process within many leading financial institutions. We will take you through these new innovations and solutions, and you'll get to see first hand how AI is reducing compliance risk and cost, while improving the customer and compliance experience.

SPEAKER



Stephen Epstein

Chief Innovation Officer
[Merton Intelligence](#)

[Biography](#)

4:10PM – 5:30PM

Networking Reception

Sponsored by [Allen & Overy LLP](#)