# Program

**Program as of 2/8/18. All information subject to change. For the most current program, visit [www.sifma.org](http://www.sifma.org).**

## Anti-Money Laundering & Financial Crimes Conference

**February 12–13, 2018 | Marriott Marquis, New York City**

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<td><strong>Monday</strong></td>
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<tr>
<td>7:30AM – 5:30PM</td>
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<tr>
<td>7:30AM – 8:30AM</td>
<td>Networking Breakfast</td>
<td>Sponsored by <a href="http://www.gibsondunn.com">Gibson Dunn &amp; Crutcher LLP</a></td>
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| 8:30AM – 8:40AM | Welcome Remarks | [Ira D. Hammerman](http://www.sifma.org)  
**Executive Vice President & General Counsel**  
**SIFMA**  
[Biography](http://www.sifma.org) |
| 8:30AM – 4:10PM | General Session Audio Visual | [Susan A. Schroeder](http://www.sifma.org)  
**Executive Vice President and Head of Enforcement**  
**FINRA**  
[Biography](http://www.sifma.org) |
| 8:40AM – 9:10AM | Keynote Address |                                |
| **Tuesday** |                               |                                |
| 9:10AM – 10:25AM | Regulatory and Examination Priorities 2018 | [Katrina A. Carroll](http://www.sifma.org)  
**Executive Vice President and Chief Anti-Money Laundering Officer**  
**LPL Financial LLC**  
[Biography](http://www.sifma.org) |
10:25AM - 10:50AM

Networking Break
Sponsored by ACA Compliance Group

10:50AM - 11:05PM

**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.
Networking Luncheon
Sponsored by Davis Polk & Wardwell LLP

1:15PM – 2:15PM

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.

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.

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 OX, 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.

2:30PM – 2:55PM

Networking Break

Sponsored by Merion Intelligence

3:00PM – 3:15PM

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.
**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.

**PANELISTS**

- **Kelly D. Gentemaar**
  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

**MODERATOR**

- **Elizabeth "Paige" Baumann**
  Senior Vice President, Chief Anti-Money Laundering Officer
  Fidelity Investments
  Biography

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

Sponsored by Merlon Intelligence. Merlon 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
  Merlon Intelligence
  Biography

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**Networking Reception**

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| 7:30AM - 8:30AM | Networking Breakfast
Sponsored by Debevoise & Plimpton LLP |
| 8:30AM - 9:00AM | Keynote Address
**Speaker:** Sigal Mandelker
Under Secretary for Terrorism and Financial Intelligence
U.S. Department of the Treasury
**Biography** |
| 8:30AM - 4:45PM | General Session Audio Visual                                          |
| 9:00AM - 10:15AM | Breakout 3A – Shells and Pillars: Are You Ready?
**After years of false starts and international pressure, on May 11, 2018 the United States will finally have a beneficial ownership rule. But this is more than a rule – it’s the fifth pillar of an AML program. Leading practitioners will discuss the rule’s requirements and the perils and pitfalls of implementation and documentation.**
**Moderator:** Alan Williamson
Director, Financial Crime Compliance Wealth & Investment Management, Americas
Barclays
**Biography**

**Panelists:**
- **Elaine Banar**
Global Head of Anti-Money Laundering and Anti-Corruption Compliance
Guggenheim Partners, LLC
**Biography**
- **Valerie Gottlieb**
Assistant General Counsel, Global Financial Crimes Legal
JPMorgan Chase & Co.
**Biography**
- **Justin Mendelsohn**
Deputy Head of AML and Sanctions
Brown Brothers Harriman & Co.
**Biography**
Breakout 3B – AML Investigations: Elder Financial Exploitation and Other Trends

This panel of subject matter experts will discuss new trends and the ever-expanding scope of the investigative function of broker-dealer AML programs. The panel will give particular focus to investigations related to elder financial exploitation.

PANELISTS

Scott Reese
Vice President, Financial Crimes Compliance
LPL Financial
Biography

Betty Santangelo
Of Counsel
Schulte Roth & Zabel LLP
Biography

Logan Anderson
Director, AML Strategy & Investigations
TD Ameritrade, Inc.
Biography

Max Levine
Managing Director, Deputy AML Compliance Officer
Charles Schwab & Co., Inc.
Biography

Ronald Long
Director of Regulatory Affairs and Elder Client Initiatives
Wells Fargo Advisors
Biography

Michael McNally
Vice President, Financial Intelligence Unit
Fidelity Investments
Biography

Thor Nelson
Director of AML and Anti-Fraud
Ameriprise Financial, Inc.
Biography

Breakout 3C – Partner Workshop: Financial Crimes Convergence

Sponsored by Booz Allen Hamilton. Booz Allen believes that the future of risk management for financial institutions is in the convergence of cyber threat intelligence, AML, fraud, insider threat detection, trade surveillance, and related programs. This convergence will enable firms to detect the symptoms of a threat and connect the dots to more comprehensively understand both individual threats and the evolving threat landscape as a whole.

SPEAKERS

Joseph Gillespie
Principal of Financial Crimes
Booz Allen Hamilton
Biography

Quinn Hout
Senior Associate
Booz Allen Hamilton
Biography

David Szerip
Lead Associate
Booz Allen Hamilton
Biography
Breakout 4A – Surveillance and Beyond: Red Flags and Their Implementation

The red flags that help employees detect suspicious activity continue to be an area of examination focus. How can your firm meet regulatory expectations relating to surveillance programs to ensure that red flags are current and relevant and employees are properly trained? Which red flags are handled through automation in surveillance technology and which are addressed via other mechanisms and/or key partners? How can you address the issue of silos that has been raised in a number of enforcement cases with appropriate linkages and escalation procedures?

Breakout 4B – Who’s on First?: The Diversion and Intersection of AML Responsibilities in the Clearing and Introducing Firm Relationship

In this session, clearing and introducing firm professionals will discuss AML responsibilities in the context of the clearing firm relationship. The discussion will cover account opening and screening considerations and the detection and reporting of suspicious activity, including surveillance tools and resources and the filing of SARs. The session will also cover the navigation of regulatory inquiries and examinations as well as relevant enforcement actions. Additionally, new rule implementation, specifically the customer due diligence rule, will be discussed.
Breakout 4C – Partner Workshop: Assessing Risk: It Is Not Just an Annual Process

Sponsored by Exiger. There are the AML, Sanctions and Anti-Corruption risk assessments, risk appetite statements, and operational risk frameworks, as well as assessments of the specific risks of clients, products and vendors. How do all of these risk components fit into the overall Financial Crime Risk Framework? Please join us for an interactive game show format that will address these issues and serve as a benchmarking tool for our audience.

11:55AM – 1:15PM

Luncheon and Keynote Address

Sponsored by Booz Allen Hamilton
Hot Topics in AML: The Industry’s Perspective

Hear industry experts’ views on the hottest topics impacting AML in the context of current regulatory expectations, recent enforcement, and the changing money laundering/financial crime landscape. Among other topics, the panel may discuss:

- Challenging clients
- Higher-risk securities such as virtual currencies and Venezuelan debt
- Marijuana-related issues
- The Paradise Papers and related investigations
- UK Criminal Finances Act and regulatory convergence
- Impact of the Equifax breach

2:35PM – 3:00PM

Networking Break

Sponsored by Kroll, Inc.

3:00PM – 4:15PM

AML/Financial Crime Enforcement Trends

This panel of experts will review recent enforcement developments in the AML and financial crime space, including recent cases and statements from law enforcement and administrative agency leadership. Among other things, the panel will examine changes your firm may wish to consider for your compliance program to address current expectations and lessons learned from enforcement.
4:15PM – 4:45PM

Closing Keynote Address

SPEAKER

Gustavo A. Rodriguez
Lieutenant
NYPD Intelligence and Counterterrorism

Biography