SIFMA's Anti-Money Laundering & Financial Crimes Conference brings together leaders from the securities industry, regulatory agencies and law enforcement to discuss the latest developments and priorities in the AML and financial crime space. Throughout the two-day program, attendees will hear directly from the industry’s regulators; participate in closed-door sessions; and network with policymakers and peer compliance professionals.

Celebrating its 20th year, this is the only conference in the AML and financial crime space tailored to broker-dealers and other members of the securities industry.

**Member**

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**Non-Member**

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**Regulator**

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**Registration Closed**

*Early bird rates expired January 10, 2020.*
Wednesday February 5, 2020

7:30am – 6:30pm
Registration Desk & Exhibit Hall Hours

7:30am – 8:30am
Networking Breakfast

Sponsored by Gibson, Dunn & Crutcher LLP

8:30am – 5:25pm
General Session Audio Visual

Sponsored by Steele Compliance Solutions

8:30am – 8:40am
Welcome Remarks

Speaker

Ira D. Hammerman
Executive Vice President & General Counsel
SIFMA

8:40am – 9:10am
Keynote Discussion with Marc Berger, SEC

Hear from Marc Berger, Director of the SEC’s New York Regional Office, on AML and other related issues that arise in the context of the SEC’s examination and enforcement efforts.

Moderator

Sarah D. Green
Global Head of Financial Crimes Officer
Vanguard Group, Inc.

Speaker

Marc P. Berger
9:10am – 9:40am
One-on-One Conversation with David Cohen, Former CIA Deputy Director/Treasury Undersecretary for Terrorism and Financial Intelligence

This year marks the 20th anniversary of our event, which was launched by members of the securities industry interested in best practices for mitigating money laundering and terrorist financing risks through their firms even before the 9/11 attacks. Hear from David Cohen how the BSA/AML regime has evolved since then and what the future may hold. Mr. Cohen participated in drafting the USA PATRIOT Act and later served as Treasury Undersecretary for Terrorism and Financial Intelligence and then Deputy Director of the CIA before returning to his position as a partner at WilmerHale.

**Moderator**

**Katrina A. Carroll**
Executive Vice President and Chief Anti-Money Laundering Officer
LPL Financial LLC

**Speaker**

**David S. Cohen**
Partner
WilmerHale

9:40am – 10:55am
AML/Financial Crime: Past, Present & Future

This panel will discuss the evolution of AML and financial crime programs and the role of AML officers as they have been shaped by geopolitical and market events, landmark cases, laws and regulatory expectations over the past 20 years. The panel will also consider the AML program elements and technologies that an AML officer needs in order to manage ever-evolving expectations and emerging risks in the future.

**Moderator**

**Catherine (Cathy) A. LaFalce**
Managing Director and Global Head of AML Compliance Risk Management, Markets and Banking Citi
Panelists

Satish M. Kini  
Partner  
Debevoise & Plimpton LLP

Justin Mendelsohn  
Deputy Head of AML and Sanctions  
Brown Brothers Harriman & Co.

Michael Rufino  
Executive Vice President, Head of Member Regulation - Sales Practice  
FINRA

Stephen J. Shine  
Chief Regulatory Counsel  
Prudential Financial

10:55am – 11:20am  
Networking Break

Sponsored by LexisNexis Risk Solutions

11:20am – 12:35pm  
Regulatory and Enforcement Trends 2020

Hear directly from regulators and policy makers about 2019 developments in the AML and financial crime space and their regulatory and examination priorities for 2020. Discussion topics will include expectations for the year and changes your firm may wish to consider for your compliance program to address regulatory expectations, new trends and typologies, and lessons learned from enforcement.

Moderator

Sarah D. Green  
Global Head of Financial Crimes Officer  
Vanguard Group, Inc.

Panelists

Spencer W. Doak  
Director for BSA/AML Compliance Policy  
Office of the Comptroller of the Currency
Managing Client Risk: Is Your Approach Reasonable and Effective?

Join this panel of experts to discuss the evolution of client risk management methodologies including factors such as geographic risk, sector risk, and client type/PEP risk. The panel will also discuss practices relating to enhanced due diligence, risk rating, updates of client information and approvals in the context of current regulatory requirements and expectations.

Moderator

Meg Zucker
Global Anti-Money Laundering Head
RBC Capital Markets

Panelists

Stephanie L. Brooker
Partner
Gibson, Dunn & Crutcher

Jeffrey Harwin
Americas Head of Anti-Financial Crime Compliance
Deutsche Bank

Elena Hughes
Executive Director, Head of AML - Institutional Securities Group  
Morgan Stanley

Brock Miller
Vice President, Corporate Securities Review  
Raymond James & Associates, Inc.

3:00pm – 3:20pm  
Networking Break

3:20pm – 4:35pm  
Breakout 1A – Are You Ready for Your Next Regulatory Exam or Enforcement Investigation?

We live in an environment of regular examinations and frequent enforcement action taken by the SEC, FINRA and other regulatory authorities. It is important that firms are well prepared and take each interaction with their examiners and regulatory enforcement staff seriously to avoid adverse outcomes, including fines and negative publicity that can damage their brands and reputations. This panel will highlight how you can better define or improve a repeatable process and will share some practical tips on cooperative and successful exams and responses to investigative inquiries.

Moderator

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

Panelists

Kelly D. Gentenaar  
Vice President and Deputy AML Officer  
E*Trade Financial Corporation

Jack Hodgens  
VP, Anti-Money Laundering (AML) Officer  
Fidelity Brokerage Services, LLC

Eli Renshaw  
Examination Manager, AML Investigative Unit  
FINRA

Sarah Runge  
Global Head of Financial Crimes Compliance Regulatory Strategy  
Credit Suisse
Breakout 1B – Economic Sanctions: Mitigating Risk in an Era of Heightened Sensitivity and Increased Enforcement

Sanctions enforcement has increased dramatically this year. What are the factors driving this increase, and what should your firm’s compliance program focus on given recent enforcement trends? This panel will discuss, among other topics, rejected transaction reporting, bulk payments, omnibus accounts, humanitarian transactions and the May 2019 Framework for OFAC Compliance.

Moderator

Daniel S. Ruzumna
Partner
Patterson Belknap Webb & Tyler LLP

Panelists

Dorothy Bennett
Head of Global Sanctions Compliance
J.P. Morgan Chase & Co.

Alexandre Manfull
Assistant Director, Sanctions Compliance & Evaluation (SC&E)
Office of Foreign Assets Control (OFAC)

Jonathan Thomas
Head of Sanctions Group
Goldman, Sachs & Co.

4:35pm – 5:05pm
One-on-One Conversation with Daniel Sankey, Coinbase

This chat will demystify the world of crypto currency and what it means for AML/financial crime compliance.

Moderator

James Fiebelkorn
Vice President and Global AML Officer
Ameriprise Financial, Inc.
Speaker

Daniel Sankey
Global Financial Crimes Officer
Coinbase

5:05pm – 5:35pm
One-on-One Conversation with Laura Richardson, FinCEN

Learn about FinCEN’s analysis and identification of money laundering and financial crime trends, including trends in elder financial exploitation, from the BSA data that our industry reports, as well as how others in government use SARs and other BSA data from securities firms.

Moderator

Elizabeth “Paige” Baumann
Senior Vice President, Chief Anti-Money Laundering Officer
Fidelity Investments

Speaker

Laura Richardson
Section Chief and Supervisory Analyst, Intelligence Division
Financial Crimes Enforcement Network (FinCEN)

5:35pm – 6:30pm
Networking Reception

Sponsored by Fiserv

Thursday February 6, 2020

7:15am – 4:00pm
Registration Desk & Exhibit Hall Hours

7:15am – 8:15am
Networking Breakfast

https://www.sifma.org/event/aml/
8:15am – 4:00pm
General Session Audio Visual

Sponsored by Steele Compliance Solutions

8:15am – 8:45am
Keynote Address: Jamal El-Hindi, FinCEN

Speaker

Jamal El-Hindi
Deputy Director
Financial Crimes Enforcement Network (FinCEN)

8:50am – 10:05am
Breakout 2A – Challenges and Opportunities for Smaller-Scale Financial Crime Compliance Programs

This panel will consider practices to optimize your financial crime compliance program at a regional, domestic or smaller financial institution. The conversation will include different approaches with respect to resources, staffing and processes as compared to other types of firms. Join this interactive session to discuss the unique challenges of running a financial crimes compliance program at a relatively smaller firm and the opportunities it offers.

Moderator

Margaret S. Edmunds
Senior Vice President, Director of AML and Corporate Compliance
Baird

Panelists

Carlyna Dowell
AML Compliance Manager
Avantax

Timothy Friedman
Director of Financial Investigations and Compliance Operations
Securities America Inc.

Sharon K. Minta
Compliance Director & Anti-Money Laundering Officer of the Financial Crimes Unit

https://www.sifma.org/event/aml/
Thor Nelson
Director of AML and Anti-Fraud
Ameriprise Financial, Inc.

Breakout 2B – Financial Crimes: You Make the Call!

Through a series of practical scenarios and case studies, this panel will have you discuss the fraud trends and typologies and examine the know your customer, conduct, senior exploitation and other risks, as well as the SAR filing requirements, related to today’s financial crimes environment.

Moderator

Greg Ruppert
Senior Vice President, Financial Crimes Risk Management
Charles Schwab

Panelists

Joseph P. Borg
Director
Alabama Securities Commission

Sean Friedly
Vice President, Head of AML & Financial Crimes Investigations
Raymond James & Associates, Inc.

Emily P. Gordy
Partner
McGuireWoods LLP

Adrienne Kosta
Vice President, Anti-Money Laundering Officer
NFS, LLC and Fidelity Forex, Fidelity Investments

John O’Neill
Executive Vice President and Chief Compliance Officer
LPL Financial LLC
Sponsored Breakout 2C – A Regulatory Imperative: Enhancing Data Quality to Accelerate Innovation

Regulators, trade associations, and advocacy groups have all called for the incorporation of innovative approaches in order to improve the effectiveness of combatting money laundering and financial crime. Firms are striving to leverage AI/machine learning, RPA, cloud computing and more in order to improve operational efficiency and the customer experience. For all or many, embracing new technologies or enhancing existing ones means significantly improving data quality and governance. This panel will discuss the challenges, pitfalls, best practices, and successes of various financial institutions on their journey to effectively harness the power of data to greatly improve the outcomes of know-your-customer (KYC), market surveillance, and sanctions screening processes while meeting regulatory expectations.

Sponsored by Protiviti

Moderator

Shaun Creegan
Managing Director, Risk & Compliance
Protiviti

Panelists

Erick Christensen
Managing Director, Risk & Compliance
Protiviti

Jeffrey Harwin
Americas Head of Anti-Financial Crime Compliance
Deutsche Bank

Bob Kadel
Global Head of Consumer Financial Crime Compliance Strategy
Goldman Sachs

Kevin M. Toomey
Senior Associate
Arnold & Porter

10:05am – 10:30am
Networking Break

Sponsored by Chainalysis, Inc.
10:30am – 11:45am
The Time Has Come: Machine Learning in the AML Space

Find out how firms have approached the world of robotic process automation and artificial intelligence. How can you leverage the latest and greatest technologies to cut costs and help improve consistency in your AML program, while staying in compliance with SAR filing and CDD obligations under FINRA Rule 3310?

Moderator

John Davidson
Senior Vice President & Global Head of Anti-Money Laundering
E*Trade Financial

Panelists

Eric Hains
Head of Surveillance
TD Ameritrade

Asim (Sam) Ibrahim
Director – Anti-Money Laundering (AML) Monitoring Risk Management (AMRM) Global Head of Emerging Risk
Citigroup

Janice Stark
Director of Business Systems, Anti-Money Laundering and Anti-Fraud
Ameriprise Financial, Inc.

11:45am – 12:55pm
Networking Lunch

11:45am – 12:55pm
Sponsored Lunch & Learn – Unlocking the Power of Innovation: New Technologies and Collaboration to Manage Risk and Turn the Tide against Financial Crime

Significant advancements in fintech are under way. These technologies are enabling intelligence to be gathered from vast and often disparate data sets which, together with rapid advances in data science, are transforming the approach to compliance, streamlining KYC processes, and helping to uncover previously hidden patterns and networks of potential financial crime activity.
At the heart of this technological revolution is the need to have trusted data, accurate and relevant information, so that the technology can help the people who are responsible for compliance and risk management make informed decisions. In this session we will discuss:

- What role does/will new technologies play in really turning the tide against financial crime?
- Do the benefits of sharing information to fight financial crime outweighs the risks?
- Can you comply with data privacy regulations and collaborate to fight financial crime?

Sponsored by Refinitiv

**Speakers**

**Kevin Bogdanov**  
Performance Director, Americas  
Refinitiv

**Andrew Simpson**  
Chief Operating Officer  
CaseWare RCM Inc.

12:55pm – 1:55pm

**Breakout 3A – Money Laundering and Financial Crime in Futures, Forex and Cryptocurrency**

This panel will discuss money laundering and financial crime in the context of futures, foreign exchange, and cryptocurrency products, including current trends and typologies and the potential risks presented by new and emerging products. The panel will also review recent regulatory enforcement actions and consider possible compliance approaches to address the lessons learned from these actions, including the use of artificial intelligence, machine learning, and various types of analytics.

**Moderator**

**Patrick Leary**  
Senior Vice President, Financial Crimes Risk Management  
Wells Fargo

**Panelists**

**Dan Burstein**  
General Counsel & Chief Compliance Officer  
Paxos

For years the United States had the most high-profile AML prosecutions and the most daunting regulations, but that is changing. Recent enforcement actions from the Pacific Rim to the Nordic snows demonstrate that AML remains a global threat and a global object of government focus. By design, expansive regulations such as the 5th Money Laundering Directive are shaping global and local programs outside the EU, while international cooperation among regulators brings new challenges for AML officers and their teams. This panel of experienced global practitioners will discuss the changing landscape of global enforcement and regulation.

Moderator

Alan Williamson
Director, Financial Crime Compliance Wealth & Investment Management, Americas
Barclays

Panelists

Sterling Daines
Managing Director, Global Head of Financial Crime Compliance
Credit Suisse

Alan Ketley
Managing Director, Global Financial Crimes Advisory Group
MUFG Securities America Inc.

Edward Longridge
Managing Director of AML and Financial Crimes
Bates Group

Betty Santangelo
Of Counsel
Schulte Roth & Zabel LLP

Sponsored Breakout 3C – Financial Crime Risk Management Collaboration in the Securities Industry

The stability and proper functioning of the financial system is important to all, but central to the mission of anti-financial crime professionals. To succeed, AML professionals must identify and manage their financial institutions’ risk for money laundering and vulnerabilities for other financial crimes. Collaboration is key and this session focuses on the three pillars of collaboration for AFC professionals in the securities industry, their impact in fighting financial crime and the promise of new technologies. Participants should expect to learn:

- Understanding innovation and technology driven strategies based on three pillars of financial crime risk management collaboration: internal collaboration, consortium data and regulatory collaboration
- Harnessing the benefits of collaboration on your AML risk management policies and procedures
- Previewing how new technology and innovation initiatives such as regulatory sandboxes can eliminate inefficiencies, promote operational excellence, and streamline risk management and reporting processes

Sponsored by Fiserv

**Speaker**

Andrew Davies
Vice President, Global Market Strategy, Financial Crime Risk Management
Fiserv

1:55pm – 2:15pm

Networking Break

2:15pm – 3:30pm

Marijuana, Hemp, and CBD: Creating Your Firm’s Policy

This panel will focus on common policy challenges related to client trading (solicited vs. unsolicited trades); deposits (physical, DWAC, DTC Free, DRS, and ACAT); exchange listing requirements (NYSE, NASDAQ, TSX, CSE, etc.); investment banking (private placements, underwriting, etc.); and financial
transactions directly with the business. What are the questions you should consider with regard to product offerings and risk appetite to formalize a policy for your firm’s business model?

**Moderator**

Jeffrey Weiss  
Managing Director & Chief Anti-Money Laundering Officer  
TD Ameritrade, Inc.

**Panelists**

Sharon Cohen Levin  
Partner  
Sullivan & Cromwell LLP

Nicole de Bello  
Anti-Money Laundering Counsel, Executive Director  
Morgan Stanley

Robert (Bob) Molloy  
Chief Anti-Money Laundering Officer  
Raymond James Financial, Inc.

Veruna Stanescu  
Vice President, Financial Crime Compliance  
Goldman Sachs

3:30pm – 4:00pm  
FBI Case Study: How an Undercover Investigation Led to the Indictment of an Off-shore Bank and Brokerage Firm

**Speaker**

Thomas McGuire  
Special Agent  
Federal Bureau of Investigation (FBI)

4:00pm – 4:00pm  
Conference Adjourns

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**On Demand On Demand**

**ACAMS Credits**

This program has been approved for 12 CAMS Credits.

https://www.sifma.org/event/aml/
CLE Credits
Pending approval.

CPE Credits

The 2020 program is eligible for up to **14.5 CPE Credits**.

**Field of Study:** Specialized Knowledge  
**Program Level:** Intermediate  
**Delivery Method:** Group Live  
**Advance Preparation:** None

For more information regarding refund, complaint, and/or program cancellation policies, please contact SIFMA at mprescott@sifma.org.

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