



AML 2018

ANTI-MONEY LAUNDERING & FINANCIAL CRIMES CONFERENCE

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

DIAMOND SPONSORS

Booz | Allen | Hamilton

Networking Luncheon - Tuesday, February 13th Partner Workshop – Tuesday, February 13th

Booz Allen's financial crimes team believes that technology is a critical element in improving compliance and efficiency in AML programs within Financial Institutions. riskCanvas™ AML Technology Suite was designed with a consortium of former industry practitioners, regulatory experts, and technologists. riskCanvas™ is built upon the most cutting edge technologies to deliver a seamless, high performance, and robust solutions for AML teams.

Contact: Quinn Hout, Senior Associate, Booz Allen Hamilton | quinten_hout@bah.com | www.bah.com

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EXIGER

Governance. Risk. Compliance.

Charging Station Partner Workshop – Tuesday, February 13th

Exiger is a global regulatory and financial crime, risk and compliance company. Exiger arms financial institutions, multinational corporations and governmental agencies with the practical advice and technology solutions they need to prevent compliance breaches, respond to risk, remediate major issues and monitor ongoing business activities. Exiger works with clients worldwide to assist them in effectively managing their critical challenges while developing and implementing the policies, procedures and programs needed to create a sustainable compliance environment. A global authority on regulatory compliance, the company also oversees some of the world's most complex court-appointed and voluntary monitorships in the private and public sectors, including the monitorship of HSBC. Exiger has four principal business units being: Exiger Advisory; Exiger Diligence Exiger Government Services; and Exiger Tech, including AI-based automated due diligence solutions DDIQ and Insight 3PM. Exiger operates through offices in New York City, Silver Spring (DC Metro), Miami, Toronto, Vancouver, London, Hong Kong, and Singapore.

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Afternoon Networking Refreshments – Monday, February 12th
Partner Workshop – Monday, February 12th

Merlon Intelligence is a global compliance technology company 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. Our goal is to make compliance simple, transparent and cost effective, while providing the tools and technology that put a serious stop to financial crime.

<http://www.merlonintelligence.com>



Mobile Event App

Safe Banking Systems (SBS) provides anti-money laundering and compliance solutions that enable institutions to identify, assess and manage risk across the enterprise. Using a principles- vs rules-based approach to entity resolution, SBS finds the bad guys and combats financial crime. SBS' AML solutions solve key Know Your Customer, Customer Due Diligence and Enhanced Due Diligence issues. SAFE Advanced Solutions Visual Intelligence Platform®, the hallmark of SBS' offerings, screens an organization's entire customer database to identify sanctions, Politically Exposed Persons (PEPs) and Reputationally Exposed Persons (REPs) found in adverse media. SAFE Alert Manager® takes entity resolution one step further. It combines the patented methodology for exposure ranking in SAFE Exposure Index® with the probabilistic alert scoring and prioritization model of SAFE Strength Index®. Together, these solutions deliver a hierarchy of the most likely to be true alerts with the most severe consequences, bringing greater intelligence for entity resolution to clients worldwide.

Contact: Joseph Spector, Director, Global Sales, Safe Banking Systems | 631.547.5400 | joseph.spector@safe-banking.com | www.safe-banking.com

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**Schulte
Roth &
Zabel**

WWW.SRZ.COM

AML Committee Dinner – Monday, February 12th

Schulte Roth & Zabel LLP is a multidisciplinary law firm handling the litigation, compliance and transactional needs of the financial services industry from offices in New York, Washington, D.C. and London. We counsel financial institutions, including securities firms, investment advisers, mutual funds, broker-dealers, banks and insurance companies, and our advisory and litigation practice advises and represents financial institutions on their AML, OFAC and FCPA issues, as well as other securities and bank regulatory compliance and enforcement issues. We have a particular expertise in representing clients on corporate compliance issues and regulatory litigation arising under AML statutes and regulations, OFAC sanctions programs, the Bank Secrecy Act and the FCPA. Staffed with former SEC Division of Enforcement members, former Assistant U.S. Attorneys and other DOJ prosecutors, and former FinCEN, Federal Reserve Board and New York State Department of Financial Services attorneys, we conduct internal investigations and have successfully represented clients in examinations, investigations, and enforcement and criminal actions brought by the DOJ, OFAC, SEC, CFTC, FINRA and other SROs, regional exchanges, state and local prosecutors, state securities regulators, and in Congressional hearings.

Contact: Betty Santangelo, Schulte Roth & Zabel LLP, 919 Third Avenue, New York, NY 10022 |
212.756.2587 | betty.santangelo@srz.com | www.srz.com

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 AUTHENTIC8

Attendee Wi-Fi

Founded in 2010 by principals from Postini, Authentic8 is redefining how the browser is used to access sensitive web data. Silo, our flagship product, is a remote browser in the cloud that creates an insulation layer between the computer and potentially dangerous content. Silo helps manage login credentials, access controls, and data use policies. Silo is built fresh at session start and destroyed at session end, ensuring that users remain secure, compliant, and anonymous online.

Contact: Emily Worth, Field Marketing Manager, Authentic8, Inc. | eworth@authentic8.com | www.authentic8.com

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Davis Polk

Networking Luncheon – Monday, February 12th

Contact: www.davispolk.com



General Session Audio Visual

Contact: <https://www.thomsonreuters.com/en.html>

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Debevoise & Plimpton

Continental Breakfast – Tuesday, February 13th

Debevoise is a premier law firm with a market-leading anti-money laundering and trade sanctions compliance and enforcement practice. We provide expert and practical advice to a wide range of institutions—including securities broker-dealers, asset managers, and multinational banks—as well as leading industry associations. Our attorneys draw upon extensive experience (both from the private sector and in government). We closely follow the complex and fast-changing U.S., EU and Asian AML and sanctions regimes and work with clients in all types of adversarial proceedings, ranging from contentious regulatory examinations to administrative enforcement actions to civil and criminal litigation.

We assist clients in:

- Reviewing, revising and implementing anti-money laundering and sanctions-related compliance policies and procedures;
- Performing compliance assessments;
- Providing anti-money laundering and sanctions training;
- Leading internal investigations regarding potential compliance issues;
- Responding to regulatory and law-enforcement inquiries regarding anti-money laundering and sanctions; and
- Defending proceedings and enforcement actions instituted by the U.S. Justice Department, U.S. federal banking regulators, OFAC, the UK Serious & Organised Crime Agency and the New York Department of Financial Services.

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Networking Refreshments – Monday, February 12th

ACA Compliance Group (“ACA”) is a leading provider of regulatory compliance products and solutions, cybersecurity and risk assessments, performance services, and technology solutions to regional, national, and global firms in the financial services industry. With offices worldwide, ACA clients include leading investment advisers, private fund managers, commodity trading advisors, investment companies, and broker-dealers. Founded in 2002 by former SEC examiners and state regulators, ACA services and develops its products with a team comprised of former SEC, FINRA, FSA, NYSE, NFA, and state regulators, as well as former senior managers and technologists from prominent financial institutions and consulting firms.

Contact: Nick Prokos, Partner, ACA Compliance Group | 908.239.9777 | nprokos@acacompliancegroup.com | www.acacompliancegroup.com



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Morning Networking Refreshments – Tuesday, February 13th

Contact: <https://www.dowjones.com/products/risk-compliance/>



Networking Refreshments – Tuesday, February 13th

Kroll is the leading global provider of risk solutions. For more than 40 years, Kroll has helped clients make confident risk management decisions about people, assets, operations and security through a wide range of investigations, cyber security, due diligence and compliance, physical and operational security and data and information management services. Headquartered in New York with more than 35 offices in 20 countries, Kroll has a multidisciplinary team of nearly 1,000 employees and serves a global clientele of law firms, financial institutions, corporations, non-profit institutions, government agencies and individuals.

Contact: Greg Hoffman, Americas Head of Sales and Marketing Compliance, Kroll, Inc., 600 Third Avenue, 4th Floor, New York, NY 10016 | 212.833.3208 | ghoffman@kroll.com | www.kroll.com

TIGERGRAPH

Hotel Room Key Cards

Contact: www.tigergraph.com

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OTC Markets

Partner Workshop – Monday, February 12th

OTC Markets Group operates the OTCQX® Best Market, the OTCQB® Venture Market, and the Pink® Open Market for 10,000 U.S. and global securities. The company's three business lines – OTC Link ATS, Market Data and Corporate Services – provide a wide variety of services to broker-dealers, corporate clients, market data distributors and investors. OTC Markets offers an array of products to help Compliance and Risk Management teams more efficiently monitor and analyze OTC equity securities. The Compliance Data File provides a robust set of data essential to mitigating risk and streamlining trading including Caveat Emptor, Market Tier, SEC Penny Stock Rule status and OTC Recommendation Rule status. The premium Compliance Analytics File evaluates risk over 16 different parameters to create a risk score for each OTC security. The product provides firms with 19 additional compliance data points such as Former Caveat Emptor and Shell Status, Name Change information and changes to price, volume and Shares Outstanding.

Contact: OTC Markets Group, 304 Hudson Street, New York, NY 10013 | 212.220.2166 | marketdata@otcmarkets.com | www.otcmarkets.com

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