



Anti-Money Laundering & Financial Crimes Conference

SIFMA's Anti-Money Laundering & Financial Crimes Conference brings together leading professionals from the securities industry, regulatory agencies and law enforcement to discuss current developments and priorities in the AML and financial crime space. Celebrating its 19th year, this is the only conference in the AML and financial crime space tailored to broker-dealers and other members of the securities industry.

Monday February 4, 2019

8:00am – 6:00pm

Registration Desk Hours

8:00am – 8:45am

Networking Breakfast

Sponsored by Gibson, Dunn & Crutcher LLP

8:45am – 8:55am

Welcome Remarks

Speaker



Ira D. Hammerman

Executive Vice President & General Counsel
SIFMA

8:45am – 5:00pm

General Session Audio Visual

Sponsored by TransparINT, LLC

8:55am – 9:15am

Keynote Address

Speaker



Kenneth A. Blanco

Director

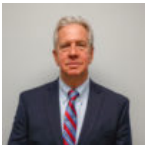
Financial Crimes Enforcement Network (FinCEN)

9:15am – 10:30am

The AML Regulatory and Policy Landscape for 2019

Hear from industry regulators and policy makers about significant milestones in 2018 and priorities for the upcoming year. The panelists will share their perspectives on key AML and financial crime issues impacting financial firms and examination touchpoints in 2019.

Moderator



Stephen J. Shine

Chief Regulatory Counsel

Prudential Financial, Inc.

Panelists



Stephanie L. Brooker

Partner

Gibson, Dunn & Crutcher



Andrew M. Calamari

Partner

Finn Dixon & Hurling



Lisa M. Palluconi

Associate Director, Sanctions Policy & Implementation (SPI)

U.S. Department of the Treasury's Office of Foreign Assets Control



Andrea Sharrin

Associate Director, Policy Division

Financial Crimes Enforcement Network (FinCEN)



Blake Snyder

Director, AML Investigative Unit

FINRA

10:30am – 10:55am

Networking Break

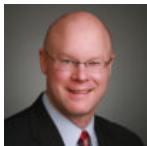
Sponsored by LexisNexis Risk Solutions, Inc.

10:55am – 12:10pm

Hot Topics in AML and Financial Crime Compliance: The Industry's Perspective

Join this panel of expert compliance professionals to examine the latest AML and financial crime challenges, including best practices in enterprise financial crime compliance, a CDD post-implementation review, and the evolving financial crime landscape.

Moderator



James Fiebelkorn

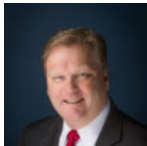
Vice President and Global AML Officer
Ameriprise Financial Services Inc.

Panelists



Sarah D. Green

Global Head of Financial Crimes Officer
Vanguard Group, Inc.



Robert (Bob) Molloy

Chief Anti-Money Laundering Officer
Raymond James Financial, Inc.



David G. Sewell

Counsel
Debevoise & Plimpton LLP



Meg Zucker

Global Anti-Money Laundering Head
RBC Capital Markets

12:10pm – 1:20pm

Networking Lunch

1:20pm – 2:35pm

Breakout 1A – Confusion Worse Confounded: AML in the Capital Markets

Seventeen years after the enactment of the USA PATRIOT Act, institutional businesses continue to struggle with the application of basic AML principles: who is the customer, what is the transaction, and how do you know what you don't know? This panel will review recent cases and guidance and the application of rules and typologies in capital markets businesses.

Moderator



Alan Williamson

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

Panelists



Winnie Gilmore

Regulatory Development Compliance Officer, U.S. Financial Crime Compliance
Credit Suisse



Elena Hughes

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



Rockwell Reid

Senior Vice President, AML Compliance Risk Management – Banking, Capital Markets and Advisory
Citi



Betty Santangelo

Of Counsel
Schulte Roth & Zabel LLP

Breakout 1B – AML Compliance in the Introducing/Clearing Context

This panel will explore AML requirements applicable in the introducing/clearing space, including FinCEN guidance and relevant topics that arise, such as information sharing, joint SAR filing, delegation and reliance, and provision of AML tools.

Moderator



Elizabeth "Paige" Baumann

Senior Vice President, Chief Anti-Money Laundering Officer
Fidelity Investments

Panelists



Brian Curtis

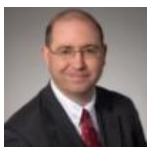
Global Head of Anti-Money Laundering
Pershing LLC, a BNY Mellon Company

**Michael Dressen**

Director of Anti-Money Laundering
RBC Wealth Management

**Timothy Friedman**

Director of Financial Investigations and Compliance Operations
Securities America

**Gerald J. Russello**

Partner
Sidley Austin LLP

**Monique Townsend**

Vice President, Director of PWM BSA/AML Compliance
First Republic

2:35pm – 3:00pm

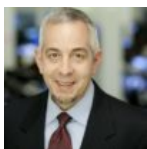
Networking Break

Sponsored by Safe Banking Systems, LLC

3:00pm – 4:15pm

Breakout 2A – The Independent Audit: Friend or Foe?

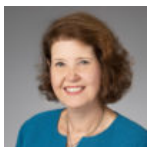
How effective is your independent testing in identifying and remediating areas of concern? Are you comfortable with the level of collaboration at your firm between Corporate Audit and AML? Join us for a panel discussion which promises to address these questions and more. Hear from industry leaders in Audit on their perspectives in testing and what they foresee changing, as the surveillance landscape begins to embrace machine learning and artificial intelligence.

Moderator**Jeffrey Weiss**

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

Panelists**Ana Alonso**

Global Head of Audit for Corporate Compliance, Legal and Services
Goldman, Sachs & Co.

**Maura Kugler-Vasilescu**

Managing Director and Head of Internal Audit for Financial Crimes, Compliance and Conduct
Morgan Stanley

**Tim O'Neal Lorah**

Managing Director
Navigant Consulting, Inc.

Breakout 2B – New Products, Services and Vendors: Does AML/Sanctions Compliance Have a Seat at the Table?

How does your firm look at AML and sanctions risks for new products, services, vendor relationships, or other changes to the business? Are these risks considered by a new products committee, and what role do AML and sanctions compliance play in that committee? Who assesses whether new products are invested in potentially risky activities (e.g., crypto-related holdings)? Who considers the risks associated with any new vendor relationships?

Is there enterprise-wide coordination, including with global counterparts? What effective governance practices can your firm apply to ensure that the firm is complying with applicable legal and regulatory requirements in the context of changes to the business; that appropriate measures have been taken to protect the firm from risk (e.g., through contractual provisions); and that there is consistency in decision-making?

Moderator**Katrina A. Carroll**

Executive Vice President and Chief Anti-Money Laundering Officer
LPL Financial LLC

Panelists**Jeremy Dresner**

Special Counsel
Wilmer Hale

**Michael W. Idol**

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

**Paul Khareyn**

Senior Vice President, Anti-Money Laundering Policy Office
HSBC Securities (USA) Inc.

**Brock Miller**

Senior Manager, Corporate Securities Review
Raymond James & Associates, Inc.

**David Stetson**

Vice President and Associate General Counsel
Goldman, Sachs & Co.

Partner Workshop 2C: Review and Present the Impact of the Updated FATF Risk Based Approach to AML in Securities

The FATF Risk-based Approach Guidance for the Securities Sector was updated in October 2018. Additionally, regulators and bodies like the FATF around the world are talking about the need for innovation to manage financial crime risk. In this session will review the updated guidance and how technology can support compliance with the updated perspective and also cover how innovation can help manage risk effectively. We will focus on accurate detection and operational efficiency in the context of a risk based approach.

Speaker

**Andrew Davies**

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

4:15pm – 5:00pm

Human Trafficking: A Financial Perspective

This discussion will focus on identifying and understanding the human trafficking threat from a financial perspective, including the potential exposures within the financial services industry, typologies and indicators of activity, and the role of compliance/AML in identifying the activity.

Speakers

**David Fein**

Group General Counsel
Standard Chartered

**Bryan Smith**

Assistant Special Agent in Charge
Federal Bureau of Investigation (FBI)

5:00pm – 6:00pm

Networking Reception

Sponsored by Fiserv

Tuesday February 5, 2019

7:30am – 4:00pm

Registration Desk Hours

7:30am – 8:15am

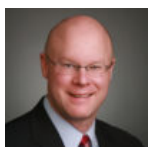
Networking Breakfast

Sponsored by Debevoise & Plimpton LLP

8:15am – 8:45am

Fireside Chat with FINRA's Michael Rufino

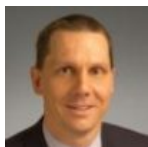
Moderator



James Fiebelkorn

Vice President and Global AML Officer
Ameriprise Financial Services Inc.

Speaker



Michael Rufino

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

8:15am – 4:00pm

General Session Audio Visual

Sponsored by TransparINT, LLC

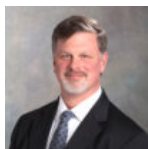
8:45am – 10:00am

Breakout 3A – When Conduct Risk Met AML

Firms continue to invest in conduct risk programs, as culture and conduct issues have been at the root of several enforcement actions in recent years. This panel will examine how conduct risk lapses can

contribute to potential AML program deficiencies and will explore the useful linkages that can exist in the control frameworks for management of conduct and AML program risks.

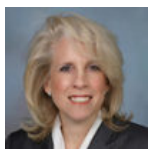
Moderator



Frederick Reynolds

Global Head of Financial Crime Legal
Barclays

Panelists



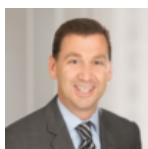
Jodi L. Avergun

Partner
Cadwalader Wickersham & Taft LLP



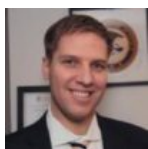
Michelle L. Neufeld

Executive Vice President and Financial Institutions Group & International – Control Leader Wholesale Control Organization
Wells Fargo & Company



Daniel S. Ruzumna

Partner
Patterson Belknap Webb & Tyler LLP



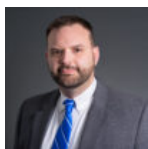
Craig Timm

Managing Director, Global Markets & Investments, AML Compliance & Risk
Bank of America Merrill Lynch

Breakout 3B – Catching Tomorrow’s Crime: AML Surveillance and Investigations

Hear how firms are adapting to new typologies, moving faster, recruiting, and using new technologies such as artificial intelligence and machine learning to detect, prevent, and report financial crime.

Moderator



Logan Anderson

Director, AML Strategy & Investigations
TD Ameritrade, Inc.

Panelists

Joseph C. Del Broccolo III

US Regional Head of Transaction Monitoring



HSBC Bank USA

**April Dennis**

Director, Head of AML Modeling, SG Americas
Société Générale

**Baha Sarana**

Executive Director, Global Head of Financial Crimes Screening and Head of AML Advisory and Onboarding
Morgan Stanley

**Janice Stark**

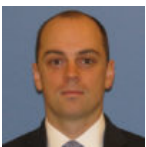
System Operations Manager, Anti-Money Laundering and Anti-Fraud
Ameriprise Financial, Inc.

10:00am – 10:25am**Networking Break**

Sponsored by Opus

10:25am – 11:40am**Breakout 4A – Managing a Global Sanctions Compliance Program to Address Divergent Obligations among Sanctions Regulators**

As sanctions programs in the United States, United Kingdom, European Union, and other jurisdictions have increasingly diverged in certain areas, how does this affect firms' abilities to manage global sanctions compliance programs in light of differing or even conflicting obligations? This panel of industry experts and practitioners will discuss the areas of greatest divergence and the practical implications of each. 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 policy and control framework to ensure ongoing compliance.

Moderator**Jonathan Thomas**

Head of Sanctions Group
Goldman, Sachs & Co.

Panelists**Dorothy Bennett**

Managing Director – Global Sanctions Compliance



J.P. Morgan Chase & Co.



Molly McLane

Managing Director, Head of the Global Financial Crimes (GFC) Legal
Morgan Stanley



Aaron Wolfson

Partner
King & Wood Mallesons

Breakout 4B – A Perfect Storm: The Ever-Rising Cyber Threat at the Intersection of AML and Fraud

The explosion of big data and social networking has resulted in a deluge of information being made available to today's tech-savvy criminal, expanding the surface of the global threat landscape related to fraud and other financial crimes that fall within the detection and reporting requirements of AML programs. This panel will explore methods to expand and extend capacity, leverage “force multipliers” within your firm, and think ahead of the threats facing our industry.

Moderator



Greg Ruppert

Senior Vice President – Financial Crimes Risk Management
Charles Schwab & Co., Inc.

Panelists



Jason Foye

Director - AML Investigative Unit
FINRA



Sean Friedly

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



Heather Jewell

Vice President, Compliance, Legal & Risk
LPL Financial

Prashanth Mekala

Supervisory Special Agent
Federal Bureau of Investigation (FBI)



Partner Workshop 4C – Low Priced Securities – Data Trends, Key Issues & Best Practices

The panel will dive into some of the important data trends within the small and micro-cap markets (OTC and Listed) including foreign securities, promotion and hot/volatile sectors. The session will also delve into applying LPS polices across markets and LPS information across the enterprise – investment banking, clearing, trade surveillance. Finally, we will discuss some of the issues regarding the concept of ‘Low Priced Securities’ and ‘Penny Stocks’ for foreign securities and provide some best practices for navigating international waters.

Moderator



Matthew Fuchs

Executive Vice President, Market Data
OTC Markets Group, Inc.

Panelists



Timothy Casey

Financial Crimes Compliance
Goldman, Sachs & Co.



Adam Kusovitsky

Global Financial Crimes Compliance Advisory
JPMorgan Chase & Co.



Ellen A. Scanlon

Director, Wealth Management USA
UBS



Andrea Walser

Managing Director, Global Financial Crimes Compliance (GFCC)
Bank of America Merrill Lynch

11:40am – 12:55pm

Networking Lunch with Case Study

Sponsored by Sidley Austin LLP

Conduct Risk: Embezzlement Fraud Case Study and the Anatomy of a Typical FBI Investigation.

Speaker

**Christopher Delzotto**

Special Agent
Federal Bureau of Investigation (FBI)

1:00pm – 2:15pm

What's Up in the World of Enforcement?: Enforcement Authorities Speak

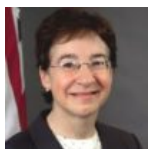
This panel of experts will review recent enforcement developments in the AML and financial crime space, including recent cases and statements from law enforcement and administrative agency leadership. Among other things, the panel will examine changes your firm may wish to consider for your compliance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

Moderator

**John Davidson**

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

Panelists

**Antonia Chion**

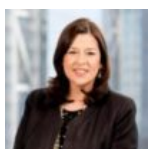
Associate Director
U.S. Securities and Exchange Commission

**Christopher Kelly**

Senior Vice President of Sales Practice Enforcement
FINRA

**Matthew Levine**

Executive Deputy Superintendent for Enforcement
New York State Department of Financial Services

**Sharon Cohen Levin**

Partner
WilmerHale

Leo R. Tsao

Chief, Bank Integrity Unit, Money Laundering and Asset Recovery Section of the Criminal Division
U.S. Department of Justice



2:15pm – 2:40pm

Networking Break

Sponsored by Chainalysis Inc.

2:40pm – 3:55pm

How Do You Solve a Problem Like Cannabis?

As the political and social debates on the legalization of cannabis continue, financial institutions face a conundrum: whether and how to tap emerging business opportunities while avoiding potential liability in the courts of law and public opinion. Canada's full legalization of cannabis in October 2018 added to the quagmire. This panel will explore the challenges of navigating these issues — down in the weeds! — including establishing a risk appetite and control framework.

Moderator



Catherine (Cathy) A. LaFalce

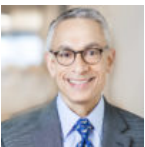
Managing Director and Global Head of AML Compliance Risk Management, Markets and Banking
Citi

Panelists



Brent P. Cohen

U.S. Head of AML Compliance
RBC Capital Markets, LLC



Satish M. Kini

Partner
Debevoise & Plimpton LLP



Adrienne Kosta

Vice President, Anti-Money Laundering Officer
Fidelity Investments



Brian Walsh

Director, Anti-Money Laundering Officer and Chief Compliance Officer
Pershing Securities Canada Limited

4:00pm – 4:00pm

Conference Adjourns

ACAMS Credits

This program has been approved for 10 ACAMS credits. Certificates will be distributed to attendees on site.

CLE Credits

Pending approval.

CPE Credits

Eligible for up to **13.4 CPE Credits**.

Fields of Study:

Finance – Technical: 13.4 credits

Auditing – Technical: 1.5 credits

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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Elizabeth Paige Baumann

Katrina A. Carroll

Brian Curtis

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James Fiebelkorn

Catherine LaFalce
Robert (Bob) Molloy
Stephen J. Shine
Jeffrey Weiss
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Meg Zucker