



# AML2021

ANTI-MONEY LAUNDERING & FINANCIAL CRIMES CONFERENCE

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### DIAMOND

## BEHAVOX

Behavox is the gold standard for enterprise risk and compliance solutions. Its AI-powered technology helps global banks, hedge funds, and private equity firms identify bad actors quickly and accurately, preventing massive fines and company-debilitating crises. Behavox solutions uncover financial regulatory misconduct like insider trading, collusion, and market manipulation as well as HR-related misconduct, such as racism, sexual harassment, and discrimination. As an award-winning team of innovators and industry experts, Behavox has a reputation for successfully implementing the largest, most complex, global projects in the market. Customers rely on Behavox as an indispensable extension of their teams. They depend on Behavox to protect the integrity of their operations and preserve the trust of their clients. Founded in 2014, Behavox is headquartered in New York City and has offices in Montreal, San Francisco, Seattle, Singapore, Tokyo, London, and Abu Dhabi.

## Chainalysis

Chainalysis is the blockchain analysis company. We provide data, software, services, and research to government agencies, exchanges, financial institutions, and insurance and cybersecurity companies in over 50 countries. Our data platform powers investigation, compliance, and risk management tools that have been used to solve some of the world's most high-profile cyber criminal cases and grow consumer access to cryptocurrency safely.

## Debevoise & Plimpton

Debevoise & Plimpton LLP is a premier law firm with market-leading practices, a global perspective and strong New York roots. Our clients look to us to bring a distinctively high degree of quality, intensity and creativity to resolve legal challenges effectively and cost efficiently.

Our diverse teams bring extensive industry experience, a strategic approach and a global perspective to every matter. Our lawyers are ambitious, intelligent, dynamic and diverse individuals who are committed to being analytically strong, professionally curious and fundamentally knowledgeable about their markets while maintaining the highest ethical standards and building lasting client relationships. Through true collaboration, we draw on the strength of our culture and structure to deliver the best of our firm to every client.

More than 800 Debevoise lawyers in ten offices across three continents work within our integrated practices to serve our clients. The firm's culture fosters a collaborative approach across disciplines and regions, and, as a result, clients benefit from the dedication, cohesiveness and superior quality that we bring to all of our work across the globe.



Fiserv, Inc. (NASDAQ:FISV) aspires to move money and information in a way that moves the world. As a global leader in payments and financial technology, the company helps clients achieve best-in-class results through a commitment to innovation and excellence in areas including account processing and digital banking solutions; card issuer processing and network services; payments; e-commerce; merchant acquiring and processing; and the Clover® cloud-based point-of-sale solution. Fiserv is a member of the S&P 500® Index and the FORTUNE® 500, and is among the FORTUNE Magazine World's Most Admired Companies®. Visit [fiserv.com](http://fiserv.com) and follow on social media for more information.

## GIBSON DUNN

From Southern California beginnings in 1890, Gibson Dunn has grown to a global law firm providing comprehensive services across borders, jurisdictions and legal disciplines. Our more than 1,400 lawyers are located in 20 offices in major cities throughout the United States, Europe, the Middle East, Asia and South America. We celebrated our 125th anniversary in 2015.

We are known for excellence in the practice of law and are committed to providing the very highest quality of legal services. Representing our clients with passion and a drive to succeed, we combine a respect for tradition with a forward-looking emphasis on innovation. We are sought out for the exceptional creativity and problem-solving ability of our lawyers, who continually look for visionary solutions to our clients' legal issues. We never give up, we originate novel approaches, we make headlines and we change the law.

We represent the majority of the Fortune 100 and more than half of the Fortune 500 companies, invaluable experience from which all of our clients benefit. Found in all major industries, they range from some of the world's largest multinationals to start-up ventures and emerging growth companies. We also represent private equity firms, sovereign wealth funds, commercial and investment banks, other financial institutions, government entities, partnerships and individuals.

Time, growth and achievements have not, however, diminished our culture and a concern for the legal and societal worlds in which we live and operate. Deeply held values of collegiality, integrity, mutual respect, and a balance of ideas across the political spectrum sustain our success in delivering exceptional work. So too does our longstanding and greatly valued tradition of service to the communities that have been such a part of our success. Our continuing commitments to pro bono, diversity and community service are and will remain integral parts of our firm. We have been privileged to work on many matters that profoundly affected our society and the civil rights of its citizens.



### Guiding Through Disruption

In a rapidly changing business environment, leading financial services companies of all sizes have trusted Guidehouse's to provide solutions to their toughest challenges. Our financial crime consultants work with top global banking institutions to build effective and efficient risk management and compliance programs. In response to heightened regulatory scrutiny of anti-money laundering (AML), Know Your Customer and anti-terrorist financing policies, companies turn to Guidehouse to defend their enterprises against legal, fiduciary, shareholder and reputational risk. As masters of financial crime risk, Guidehouse has all bases of the governance ecosystem covered. Whether a client needs to improve sanctions compliance, enhance transaction monitoring or drive convergence between AML and fraud functions - we've helped similar companies overcome these issues. Armed with top former prosecutors, regulators, compliance officers and consultants, we leverage our combined experience to conquer challenges from financial compliance to global investigations to enforcement.



Relativity Trace is a communication surveillance solution that detects insider trading, collusion, and other non-compliant behavior in near real-time. The solution increases the efficiency of compliance teams performing communication surveillance by seamlessly pulling communications from every enterprise system, leveraging a suite of innovative AI capabilities to reduce false positive alerting, and providing an endlessly flexible platform to support workflows specific to any organization. Use it to automatically surface the riskiest content so you can spend more time focusing on what matters most to you.

## Schulte Roth&Zabel

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, DC 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, SEC, CFTC, FINRA, regional exchanges, state and local prosecutors, state securities regulators and in Congressional hearings.



Smash is the recognized global leader in electronic communications archiving solutions for regulated organizations. The Smash Connected Suite provides innovative capture, archiving, e-discovery, and supervision solutions across the industry's widest breadth of communication channels. Customers span the top banks in North America and Europe, along with leading brokerage firms, insurers, and registered investment advisors. For more information, visit [www.smash.com](http://www.smash.com).



TigerGraph is a platform for advanced analytics and machine learning on connected data. Based on the industry's first and only distributed native graph database, TigerGraph's proven technology supports advanced analytics and machine learning applications such as fraud detection, anti-money laundering (AML), entity resolution, customer 360, recommendations, knowledge graph, cybersecurity, supply chain, IoT, and network analysis. The company is headquartered in Redwood City, California, USA. Start free with [tigergraph.com/cloud](http://tigergraph.com/cloud).

**GOLD**



BasisCode Compliance delivers a fully-integrated suite of compliance and risk management solutions – including a powerful employee conflict of interest management platform which allows for flexible, independent workflows for form submissions, personal trade monitoring, political contribution pre-approvals, outside business activities, gifts & entertainment, and more.

The comprehensive set of integrated compliance and risk management tools provides rapid design, deployment, and the continuous monitoring and evaluation of controls. The BasisCode Compliance™ solution effortlessly streamlines day-to-day management of compliance programs with testing and certifications, risk assessments, a forms studio that automates virtually any paper-driven process, gifts and entertainment, anonymous incident reporting, personal trading with direct broker feeds, a robust insider trading platform, a documents library, user-friendly employee portal, secure mobile access and much more.

The scalable, fully integrated, and always audit-ready software platform makes it an essential compliance solution for organizations of all sizes.



Bates Group is a leading financial services consulting firm, providing expertise in AML and Financial Crimes, Compliance, Risk, Remediation Litigation, Regulatory and Internal Investigations, as well as services in litigation consultation and expert testimony. Bates AML & Financial Crimes provides subject matter expertise on AML, financial crimes, and sanctions; provides services in design, configuration, testing, tuning and optimization of AML and sanctions systems; performs AML and sanctions system model validations; develops governance and oversight processes; redesigns and updates AML policies and procedures; conducts AML and sanctions risk/gap assessments and audits; trade finance solutions; regulatory response support; and staffing support for AML backlogs and lookbacks. In 2020, Bates partnered with Complidata to combine leading financial crime industry expertise and Artificial Intelligence technology together in a joint approach to assist financial institutions with optimizing their anti-money laundering operations and compliance. Bates also offers customized corporate training through our partner Innova Learning.



#### **What if you could solve multiple regulatory and AML challenges with one partner?**

Regulations affect every corner of your business, demands never stop. To combat and conquer anti-money laundering (AML) challenges, you need to act swiftly and smartly. You need trading compliance solutions that enable you adapt to the latest rules quickly and cost-effectively. FIS' award-winning RegTech solution span AML, transaction monitoring and eSurveillance, risk management, and regulatory reporting. As the world's largest fintech provider, we give you a coherent and confident approach to trading compliance, backed by decades of experience in building robust, flexible technology and interpreting complex regulations. Using cloud and digital technologies such as robotics and machine learning, our nimble solutions and services don't just solve your regulatory problems quickly – they innovate on your behalf. So, as well as reducing your IT costs, we'll keep you ahead of the curve. Let's Solve Trading Compliance.

**SILVER**



Financial data links together the global financial value chain. It underpins all processes, front-to-back office systems and workflows. What's more, high-quality financial information can be the competitive advantage that takes businesses to the next level.

For more than 90 years, SIX has provided the financial data and services the industry needs: high-quality data, delivered at the right time, in the right way. From our core reference data on securities, prices, corporate events, tax and regulatory data, to our flagship indices and bespoke benchmarks, SIX offers added-value services that smoothly integrate with your workflows. We free your time and attention to spend on growing your business.

With SIX, you benefit from a unique database of more than 30 million instruments, providing data aggregated directly and in real time from more than 1,800 worldwide sources, already verified, structured, interlinked and enriched. And we do it the right way, with a tireless focus on quality and innovation. We are embedded in Europe, at the heart of one of the world's preeminent capital market hubs, and proudly customer-owned and -governed, for the benefit of the entire market.