Gaining the Edge on Growing Risk Management Challenges

- By the Numbers: Employing Quantitative Analysis to Validate Risk Management Strategies
- NYDFS 504: Strategies for Mitigating New Regulatory and Compliance Risks
- Sanctions Update: Adapting Risk Management Models to Evolving Requirements

www.acamsconferences.org/nyc
CONFERENCE HIGHLIGHTS

KEY TAKEAWAYS

1. Evaluate some of the most vexing AML challenges today; including financial inclusion and KYC/CDD in trade financing while receiving practical solutions on how best to proceed

2. Analyze what NYDFS 504 requires from compliance professionals and learn practical strategies for responding appropriately

3. Receive guidance for meeting regulatory expectations through effective metrics-driven analytics and quantifiable risk management tools

4. Understand new technologies and analytical systems that are rapidly transforming the compliance profession

5. Adapt risk management models to evolving requirements such as sanctions involving Russia, Iran and Cuba

WHO ATTENDS

Professionals responsible for:

- AML operations and compliance
- Reporting and SAR/STR filing
- AML risk management
- Customer due diligence
- Transaction monitoring and system tuning
- AML audits
- Investigations
- AML training
- Sanctions management
- New product compliance
- Managing third party payment processors
- Law enforcement
- Regulatory oversight

From these sectors:

- Accounting Firms
- Banks
- Casinos
- Consultants
- Credit Unions
- Financial Services Providers
- Insurance Companies
- Law Enforcement Agencies
- Law Firms
- Money Services Businesses
- Regulatory Agencies
- Securities/Investment Firms
- Software/Technology Providers
- Universities
- Virtual Currency Exchangers

“It was good to have a mix of presenters from regulators and industry that could speak about the current regulatory trends and how different firms are handling risks they are facing.”

Dawn Savoie, CAMS, Senior Compliance Advisor, Fidelity Investments

VIRTUAL BROADCAST

“STREAMING LIVE”

Can’t take time away from the office?

Tune in to the virtual conference streaming live from New York. This online training option provides you and your team access to watch the keynote addresses and all general sessions.

Plus, receive downloadable audio recordings of select sessions and earn 6 CAMS credits. For more information visit www.acamsconferences.org/nyc

www.acamsconferences.org/nyc  info@acams.org  +1 305.373.0020
**THURSDAY, JUNE 8, 2017**

**PRE-CONFERENCE TRAINING**

<table>
<thead>
<tr>
<th>Time</th>
<th>Event</th>
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</table>
| 8:00 AM – 9:00 AM | CAMS Examination Preparation Seminar and Forensic Accounting Workshop Check-in  
(Separate registration required.) |
| 9:00 AM – 4:30 PM  | **CAMS Examination Preparation Seminar**  
Led by CAMS-certified instructors, the CAMS Examination Preparation Seminar reviews critical information in an easy-to-follow format that prepares you to sit for the CAMS Examination. Benefit from this interactive study session as AML experts walk you through core content areas and practice questions. This seminar is worth 6 CAMS credits. Download the candidate handbook.  
Attend for free — see back page for details. |
| 9:00 AM – 12:00 PM | **NEW ACAMS / BECKER WORKSHOP**  
**Catching Crooks and Reducing Risks: Forensic Accounting and AML**  
Combining the thrill of mystery solving and the rigors of disciplined financial crime investigation, this workshop gives attendees a compelling behind-the-scenes look at how forensic accountants follow the money -- and bring criminals to justice. At this highly interactive program, our experts deconstruct real-life cases, illustrating how forensic accounting combats financial crime, ultimately producing invaluable lessons for strengthening risk management and protecting institutional interests in the process.  
**KEY AREAS COVERED**  
• Detailing forensic accounting techniques to clarify its methods in criminal investigations  
• Reviewing case studies to identify best practices to attain optimal investigative results  
• Analyzing forensic exam findings to identify and rectify risk management oversight gaps  
**WHO SHOULD ATTEND**  
This educational and compelling workshop is designed to elevate the professional skills of AML managers, CTF specialists, law enforcement officers, financial crime and fraud investigators and auditors. |

Register for the conference and receive a FREE PASS to attend the CAMS seminar

The CAMS credential is the gold standard in AML certifications and recognized internationally by financial institutions, governments and regulators. CAMS-certified professionals position themselves as industry leaders earn nearly 42% more than non-certified colleagues*. See back pages for details on attending this seminar for free.

*According to the ACAMS 2015 Compensation Guide for AML/CFT/FCP Professionals
### FRIDAY, JUNE 9, 2017
#### MAIN CONFERENCE

<table>
<thead>
<tr>
<th>Time</th>
<th>Event Description</th>
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<tbody>
<tr>
<td>7:00 AM – 4:00 PM</td>
<td><strong>Registration Desk Open</strong>&lt;br&gt;Registration courtesy of Safe Banking Systems, LLC&lt;br&gt;Lanyard courtesy of FinScan</td>
</tr>
<tr>
<td>7:00 AM – 2:45 PM</td>
<td><strong>Exhibit Area Open</strong></td>
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<tr>
<td>7:00 AM – 8:00 AM</td>
<td><strong>Networking Breakfast in Exhibit Area</strong></td>
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<tr>
<td>8:00 AM – 8:30 AM</td>
<td><strong>Mid-Year Policy Update: Financial Inclusion, Financial Access and “De-Risking”</strong>&lt;br&gt;ACAMS opens its 5th Annual Risk Management Conference with a compelling forum on one of the most challenging and volatile areas of risk management today -- the delicate act of balancing financial inclusion, financial access and so-called “de-risking” regulatory imperatives. This interactive 30-minute session utilizes a question-and-answer format to ensure the issues of greatest concern to attendees are heard and analyzed in an authoritative manner, providing practical and applicable insights into where things stand -- and where they’re headed.</td>
</tr>
<tr>
<td>8:30 AM – 9:00 AM</td>
<td><strong>Keynote Address</strong></td>
</tr>
<tr>
<td>9:00 AM – 10:15 AM</td>
<td><strong>By the Numbers: Employing Quantitative Analysis to Validate Risk Management Strategies</strong>&lt;br&gt;• Developing metrics-based assessment models to heighten risk profile accuracy&lt;br&gt;• Leveraging historical data to elevate predictive risk assessment capability&lt;br&gt;• Instituting robust quantitative data management to ensure risk assessments reflect current realities</td>
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<tr>
<td>10:15 AM – 10:45 AM</td>
<td><strong>Networking and Refreshment Break in Exhibit Area</strong></td>
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**NEW**

This conference is now accredited for CLE and CPE credits. Plus, earn up to 12 CAMS credits.
<table>
<thead>
<tr>
<th>Time</th>
<th>Session Title</th>
<th>Details</th>
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</table>
| 10:45 AM – 12:00 PM | **Sanctions Update: Adapting Risk Management Models to Evolving Requirements** | • Ensuring watch list filtering systems meet regulatory expectations and mitigate institutional risk  
• Examining new typologies of proliferation and terror financing to identify emerging sanctions-related risks  
• Analyzing recent sanctions actions to adjust risk screening models as warranted |
| 12:00 PM – 12:30 PM | **Special Presentation with Q&A**                                            |                                                                                                                                            |
| 12:30 PM – 1:30 PM | **Networking Luncheon courtesy of Digital Reasoning**                       |                                                                                                                                            |
| 1:30 PM – 2:45 PM | **NYDFS 504: Strategies for Mitigating New Regulatory and Compliance Risks** | • Creating a “reasonably designed” transaction monitoring program to meet 504 standards  
• Updating systems to meet 504 requirements on filtering OFAC-prohibited transactions  
• Conducting testing to validate data integrity, detect systemic gaps and document remedial plans |
| 2:45 PM – 3:15 PM | **Networking and Refreshment Break in Exhibit Area**                        |                                                                                                                                            |
| 3:15 PM – 4:30 PM | **Managing Complex Trade-Based Money Laundering Risks**                    | • Enhancing scrutiny of supply chains and other trade-related transaction systems to identify and escalate KYC/CDD risks  
• Monitoring for TBML typologies to detect red flags such invoice manipulation and high-risk shipping routes  
• Utilizing tech innovations such as data analytics to address unique TBML monitoring issues and craft sector-specific AML defenses |
| 4:30 PM – 4:35 PM | **Closing Remarks**                                                          |                                                                                                                                            |

Program and speakers are subject to change.

“The venue was really nice, speakers were knowledgeable and gave plenty of time for questions. The networking lunch and in between sessions was tremendous!”

Ari Bricker, Assistant Vice President - Client On Boarding, Lloyds Bank

Visit www.acamsconferences.org/nyc for program details and speaker updates
SPEAKERS & TASK FORCE

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ACAMS moneylaundering.com
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JOHN J. BYRNE, ESQ., CAMS
Executive Vice President
ACAMS
PROGRAM TASK FORCE CHAIR

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Principal, Risk Advisory Services

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Anti-Financial Crime, Americas
Deutsche Bank

SANDRA L. DEPOALO
Global Head of AML Compliance
Bank of New York Mellon

ANTHONY DOMINICIS
Assistant Special Agent in Charge (ASAC)
Internal Revenue Service (IRS) – Criminal Investigation (CI)

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President
Galli AML Advisory, LLC
PROGRAM TASK FORCE MEMBER

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Financial Crime & Regulatory Consulting
Duff & Phelps

MICHAEL GREENMAN
Chief AML Legal Counsel
US Bank

WILLIAM LANGFORD, CAMS
Chief Compliance Officer
Bank of Tokyo
PROGRAM TASK FORCE MEMBER

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Partner
Orrick, Herrington & Sutcliffe

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President and Chief Executive Officer
DML Associates
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Managing Director, Global Head of Scenario Management & Validation
Citigroup

ANGEL P. NGUYEN
Vice President
Enterprise AML Operations and Financial Intelligence Unit
American Express

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MLRO Americas
MLRO Americas
Australia and New Zealand Banking Group Ltd

ANTHONY RODRIGUEZ, CAMS
Chief Risk Officer
AFEX

RICK SMALL, CAMS
Executive Vice President, Director
Financial Crimes Program
BB&T

CLAY STEVENSON
Managing Director, Global Economic Sanctions Compliance Executive
Bank of America

DONALD TEMPLE, CAMS
Principal
BSA/AML Consultants

SUSAN TUCCILLO, CAMS
Senior Vice President, Head of Compliance
Nordea Bank AB, New York Branch

CYRUS R. VANCE
Founder and Principal
Wild AML Solutions

Visit www.acamsconferences.org/nyc for program details and speaker updates
ACAMS global conferences bring together senior executives, decision makers and leading-edge technology and solution providers under one roof to share insights and engage on the latest advancements in financial crime detection and prevention. From screening technology to data analytics to transaction processing, vendors will have the opportunity to showcase products and services to a captive audience.

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Contact Andrea Winter on +1 917.214.6875 or awinter@acams.org

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SAVE $50
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Standard Price

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<td>ACAMS/Becker Workshop</td>
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</tbody>
</table>

GROUP RATES  Discounts are available for groups of 3 or more. For details, contact Geoffrey Fone on +1 786.871.3021 or gfone@acams.org.

Free CAMS Seminar

Boost your professional development while at the conference and participate in the CAMS Seminar on June 8. This seminar is free for conference delegates who purchase the CAMS6 certification package or are in the process of certifying and will be sitting for the CAMS6 Examination. Participation in the CAMS seminar — alongside the conference — earns you a total of 6 CAMS credits. Seating capacity is extremely limited and participation must be reserved in advance.

CONFERENCE VENUE

Conrad New York
102 North End Avenue, New York, NY 10282

HOTEL ACCOMMODATIONS
A block of rooms at the Conrad New York has been reserved at a discounted rate for this event. The last day to reserve rooms at the group rate is May 9, 2017, or until the room block is sold out. Due to the high demand for rooms, we recommend that you book your room reservation as early as possible.

For complete reservation information, visit www.acamsconferences.org/nyc/#venue.