



Annual Country Conference / Symposium Series-
“Enhanced AML and Financial Crime Tools & Techniques”

6th Annual Kuala Lumpur Symposium

20 June 2019 | Kuala Lumpur, Malaysia

Hilton Kuala Lumpur

3 Jalan Stesen Sentral, 50470 Kuala Lumpur, Malaysia

08:00 – 09:00

Registration and Morning Tea

09:00 – 09:15

Welcome Remarks

Hue Dang, CAMS-Audit, Head of Asia, **ACAMS**

09:15 – 10:30

Regulatory Update: Analyzing Regional AML Trends and New Developments

- Assessing recent regulatory developments and guidance to establish best practices for meeting evolving regulatory expectations
- Updating on the developments around the 4th-Round of FATF Mutual Evaluations that may be useful for your compliance program
- Understanding the hot topics across Asia and the direction of AML/CTF requirements going forward

Moderator:

Hue Dang, CAMS-Audit, Head of Asia, **ACAMS**

Speakers:

Suresh Soundarrajan, CAMS, Director of AML for South-East Asia, Formerly **Deloitte Malaysia**

Daniel Wong, CAMS, Group Chief Compliance Officer, **Maybank**

10:30 – 10:50

Networking and Refreshment Break



10:50 – 12:00

Crafting Processes to Combat Illicit Money Flows in the APAC Region

- Understanding how drug smuggling proceeds from organized crime groups in the APAC region
- Training staff on red flags that may indicate illegal activities such as frequent wire transfers below required reporting thresholds and deposits/ withdrawals indicating funnel account activity

Moderator:

Dr. William Scott Grob, CAMS-FCI, AML Director – APAC, **ACAMS**

Speakers:

Christian Eades, Vice President and Compliance Officer, **Citi**

Michael Sprake, Director, **PwC South East Asia Consulting**

12:00 – 13:00

Networking Luncheon

13:00 – 14:30

Interactive Workshop: Wrestling with the New Wolfsberg Correspondent Banking Questionnaire and the Internal Implications

- Reviewing the new Wolfsberg Due Diligence Questionnaire and providing practical advice on how to coordinate the 110 questions internally
- Contrasting the simplified CDD process against Enhanced Due Diligence requirements through a practical exercise
- Resolving AML issues and conflicts to ensure mutually beneficial correspondent relationships

Speaker:

Dr. William Scott Grob, CAMS-FCI, AML Director – APAC, **ACAMS**

14:30 – 15:30

FinTech Update: Strengthening Electronic Payment Systems with New Technologies to Mitigate Abuse

- Applying internal controls to effectively monitor new digital banking and FinTech products
- Identifying red flags that indicate illegal use by organized criminal organizations
- Establishing risk appetite to determine level exposure and appropriate AML control

Moderator:

Aaron Lau, CAMS-Audit, CAMS-FCI, Head of Fraud Investigation & AML, **AITLAU Management Services**



Speakers:

Praveen Jain, CAMS, Head of Financial Crime Compliance (FCC) Innovation and Controls Strategy,
Standard Chartered Bank

Nur Fazlim Bt M.Mohamed Kunju, Head of Compliance, **MoneyMatch**

15:30 – 15:50

Networking and Refreshment Break

15:50 – 16:50

Evaluating the Money Laundering Risks of Insurance Products

- Determining the best practices in KYC/CDD for insurance companies to mitigate AML
- Contrasting the various product features and their money-laundering vulnerabilities
- Understanding the priorities in transforming the insurance operating model and costs with AML directives upon enterprise-wide risk management system

Moderator:

Dr. William Scott Grob, CAMS-FCI, AML Director – APAC, **ACAMS**

Speaker:

Niall Grady, Chief Compliance Officer, Asia, **Prudential Corporation Asia**

16:50 – 17:00

Closing Remarks

Dr. William Scott Grob, CAMS-FCI, AML Director – APAC, **ACAMS**

(Program is subject to change)

SPEAKER FACULTY (Surname in Alphabetical Order)



Hue Dang, CAMS-Audit
Head of Asia
ACAMS

Ms. Dang is the Head of Asia of ACAMS, having established its regional head office in Hong Kong in 2008. Ms. Dang has more than 25 years' experience in banking and finance. Prior to ACAMS, she was a Bank Examiner at the Federal Reserve Bank of Boston, Manager with Barclays Capital's Investment Banking Division in Singapore, Director for Business Development at Citibank's Global Consumer Banking Group in Singapore and Director of Business Development, Asia/Pacific, for Thomson Financial in Hong Kong. Ms. Dang holds educational degrees from the US, with a Bachelor of Arts Degree with honors from Amherst College and a Master in Public Policy from Harvard University, John F. Kennedy School of Government.



Christian Eades
Vice President and Compliance Officer
Citi

Christian Eades brings more than three decades of corporate, consultant, and government service SME to financial services compliance. Mr. Eades attacks compliance challenges with a unique blend of first-person illicit actor expertise, legal experience, and Big Bank insight. He is uniquely qualified to address terror-financing because the Jakarta Marriott bombing, the US embassy bombings in East Africa and 9/11 attack on the Pentagon are personal to him. Similarly, Mr. Eades brings deep-dive familiarity with sanctions issues including the international monitoring of North Korea proliferation and their firing of missiles to try to stop it. Currently in the transition to a compliance role in Europe, Mr. Eades previously worked in KYC advisory and financial crimes/AML investigations at Citi, JPMorgan Chase, and AIG, in Asia and North America. Before that, Mr. Eades provided advice to major US print and television media and national US law firms in risk management and all the major international financial services compliance areas: financial crimes, sanctions and anti-bribery and corruption. Before his work as a

consultant, he served in US embassies as a political officer and military attaché diplomat in Asia, Africa and Europe. He is a licensed US attorney and serves clients with expertise developed from a general law degree and specialized law degree in litigation.



Niall Grady
Chief Compliance Officer, Asia
Prudential Corporation Asia

Mr. Grady was appointed Chief Compliance Officer, Prudential Corporation Asia (“PCA”) in January 2017. Prior to his appointment, Mr. Grady was Chief Risk Officer of Eastspring Investments, Singapore Ltd, the Asian asset management business of Prudential plc, where he was responsible for Legal, Risk & Compliance. Before joining Eastspring Investments in 2013 Mr. Grady was Regional Director of Enterprise Risk Management (“ERM”) for PCA responsible for the Risk Management Framework, the Solvency II project and Operational Risk. Mr. Grady joined Prudential Plc in 2007. Mr. Grady has 20 years of financial industry experience and a degree in Financial Services from the University of Manchester (UK) business school and is a Chartered Associate of Institute of Financial Services (ACIF).



Dr. William Scott Grob, CAMS-FCI
AML Director – APAC
ACAMS

Dr. Grob has over 25 years of financial and banking expertise. His most recent role was as Regional Head of Affiliates Management, HSBC, where he worked on mitigating financial crime and correspondent banking risks across Asia. His 12-year career at the bank also included managing risk within the Equity/FX prime brokerage business, Structured Funds business, and Hedge Fund units.

Dr. Grob earned a Bachelor’s degree from Boston University, a Master of Arts from George Mason University, a certificate from Harvard Business School’s General Management Program, and a Doctorate of Management from SMC University (USA), where his dissertation was focused on correspondent banking- “IMPACT OF

CORRESPONDENT BANK ENHANCED DUE DILIGENCE PRACTICES.” Also, he has designations from the Chartered Alternative Investment Analyst (CAIA) Association, and Global Association of Risk Professionals (FRM).



Praveen Jain, CAMS
Head of Financial Crime Compliance (FCC) Innovation and Controls Strategy
Standard Chartered Bank

Mr. Jain is the Head of Financial Crime Compliance (FCC) SAIL and Innovation at Standard Chartered Bank. He is the Accountable Executive for implementation of the Transaction Monitoring solution and responsible for designing the strategic surveillance solutions for the AML and Sanctions programs. He also leads the innovation program to support the bank in staying at the forefront of FCC risk management and leverage new technologies within the Financial Crime Compliance space.

Mr. Jain was previously responsible for Strategy and Transformation within the financial Intelligence Unit at Bank of America. His early career was with ABN AMRO Bank in AML compliance and with Detica in product management and consulting.



Nur Fazlim Bt M. Mohamed Kunju
Head of Compliance
MoneyMatch

Puan Nur Fazlim is the Head of Compliance for MoneyMatch. With humble beginnings as a Quantity Surveyor, she has successfully climbed through the corporate ranks by becoming a Project Manager and subsequently, a Senior Project Manager to which she was responsible for handling a variety of commercial and residential projects worth hundreds of millions in the Construction Industry for 13 years.

Finding that her strengths lie within the ability to recondition and reform issues faced within the Construction Industry, it was a natural step for her to head towards Compliance in the Money Service Business industry 9 years ago. Throughout her career, Puan Nur Fazlim has served companies that were facing a myriad of compliance related issues where she spearheaded the reexamination and reconstruction of compliance policies and procedures, leading

to an overhaul of the companies compliance programme. This has led her to be a well-regarded Compliance Officer within the industry as well as with the regulator.

A testament to this is that upon joining MoneyMatch late last year, her experience, passion and goal-oriented drive has helped MoneyMatch to one of the first Malaysian -owned companies to graduate from the Financial Technology Regulatory Sandbox Framework and will be classed as a Class B remittance service provider and eKYC provider.

Furthermore, Puan Nur Fazlim has recently obtained her Masters in Property Investment. She is also a Certified Compliance Officer (CAMCO) from Asian Banking School, a member of Asian Institute of Chartered Banker and a Certified Trainer accredited for the 2nd term by Finance Accreditation Agency. She is also a doting mother of 3 and loves cooking, reading and travelling.



Aaron Lau, CAMS-Audit, CAMS-FCI
Head of Fraud Investigation & AML
AITLAU Management Services

Mr. Lau is the principal consultant and director of AITLAU Management Services Sdn Bhd. He is heading the Financial Fraud Investigation and Anti-Money Laundering Compliance services in the firm. He is involved in consultancy and training in areas related to financial fraud and forensic accounting investigations, anti-money laundering, business intelligence and financial accounting.

He is an accredited trainer for the Association of Certified Anti-Money Laundering Specialist (ACAMS) certification programme. He heads the ACAMS partnership with AITLAU Management Services Sdn Bhd in Malaysia.

He has provided training services in the areas of financial fraud investigations, asset recovery, anti-money laundering and business intelligence to participants of government-related regulatory bodies like Securities Commission, Royal Malaysian Customs, Inland Revenue Board of Malaysia, Malaysian Anti-Corruption Commission, Joint organization between MACC-UNDP-INTERPOL Asset Recovery Workshops, Korean Customs and the Companies Commissioner of Malaysia, both local and foreign financial institutions and corporations. Mr. Lau has been lecturing for the advanced and executive certificate course for strategic management of anti-corruption programme in the area of anti-money laundering and effects of corruption since 2011. In 2015, he was accredited as an international bank's global trainer in Anti-Money Laundering and Sanctions.

Mr. Lau is also involved in financial fraud investigations for both local and foreign companies. He worked together with the Malaysian Anti-Corruption Commission to develop the financial fraud tool kits and investigation guidelines for private entities.



Michael Sprake
Director
PwC South East Asia Consulting

Mr. Sprake is a Director in PwC Consulting Associates (M) Sdn Bhd, based in Kuala Lumpur, Malaysia. He has nearly 20 years experience working in the area of financial crime and financial crime risk management. Mr. Sprake spent over 12 years working for HM Revenue & Customs in the United Kingdom, as both an investigation and intelligence officer examining complex fraud, money laundering, prohibitions and restrictions and other serious offences. Prior to joining PwC he was responsible for building the Financial Intelligence Unit and leading the Financial Crime Compliance department for HSBC Bank Malaysia. He has been a key driver behind numerous analytical initiatives to proactively identify financial crime risk within the financial services industry and build effective controls.



Suresh Soundarrajan, CAMS
Director of AML for South-East Asia
Formerly Deloitte Malaysia

Suresh is an AML practitioner for over 16 years who started his career with Standard Chartered as a frontline banker before moving to the Standard Chartered Group's AML program and has been handling financial crime portfolio since then. His experiences include Accenture, Citi Bank and recently Deloitte where he was the Director of AML and country money laundering reporting officer of the firm.

He is also actively involved in the industrial and speaking events on AML compliance and is a visiting faculty for management development programs organised by various universities and associations. Being a passionate actor himself, he is currently working on developing modules that will aid AML knowledge transfer through role plays.



Daniel Wong, CAMS
Group Chief Compliance Officer
Maybank

Daniel Wong is the current Group Chief Compliance Officer (GCCO) of Maybank. As GCCO, Mr. Wong oversees Regulatory and Financial Crime Compliance of Maybank Group businesses which include Commercial Banking, Islamic Banking, Investment Banking, Asset Management, Stock Broking, Insurance and Takaful.

Prior to joining Maybank, Mr. Wong spent 21 years in Standard Chartered Bank across Malaysia and Singapore, holding various roles in audit, risk and compliance. He started his career in Bank Negara Malaysia (BNM) and had a short stint in Bursa Malaysia before joining Standard Chartered Bank.

Mr. Wong holds a bachelor degree and has been a Certified Anti-Money Laundering Specialist (CAMS) and Certified Fraud Examiner (CFE) since 2008.