Risky Business: Managing Your Institution’s Risk Appetite

21 June 2019
New York Marriott Marquis
New York City

CAMS CREDITS: 6

acamsconferences.org/nyc
RISKY BUSINESS: MANAGING YOUR INSTITUTION’S RISK APPETITE

Near the top of many financial crime prevention professionals’ list of challenges is the management of risk connected to the normal course of doing business and their financial institutions’ risk appetite.

This year’s conference offers a dynamic learning platform for solutions aimed at strengthening institutions’ risk management. During this one-day event, financial crime prevention professionals and experts gather for an in-depth look at advanced tools that enable compliance professionals to tackle emerging risk vulnerabilities and overcome daily regulatory challenges.

SEE WHAT’S NEW

Extended Networking Break
Discuss important risk management issues with compliance professionals, regulators and law enforcement.

Marijuana-Related Businesses (MRBs)
Learn about recent legal developments, regulatory expectations and how to mitigate the risks of banking MRBs.

Q&A Segments
Ask subject-matter experts questions on anti-financial crime issues via the ACAMS Conferences app throughout every session.

TOP THREE REASONS AML PROFESSIONALS ATTEND THE CONFERENCE

Program 34%
Continuing Education Credits 30%
Professional Development 28%

*Based on the 2018 New York Attendee Survey.
BENEFITS OF ATTENDING

PRACTICAL GUIDANCE:
Acquire guidance on some of compliance’s most vexing risk management issues, such as banking marijuana-related businesses.

TECHNOLOGICAL SOLUTIONS:
Strengthen your anti-money laundering oversight by learning to use technological tools, such as artificial intelligence, machine learning and data analytics.

GLOBAL REGULATORY UPDATES:
Learn up-to-date strategies on global regulatory changes to ensure your risk model meets expectations and complies with new requirements.

NETWORKING:
Interact and discuss important compliance issues with fellow risk management professionals dealing with similar day-to-day challenges.

WHO ATTENDS

Professionals responsible for:
- Reporting and SAR/STR filing
- AML risk management
- Customer due diligence
- Transaction monitoring and System tuning
- AML audits
- AML training
- Sanctions management
- New product compliance
- Managing third-party payment processors
- Law enforcement
- Regulatory oversight

From these sectors:
- Accounting firms
- Banks
- Casinos
- Consulting firms
- 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

CONFERENCE ATTENDEES’ INDUSTRY EXPERIENCE

*Based on the 2018 New York Attendee Survey.
TOP SESSIONS

CDD Final Rule: Practical Solutions for Problematic Challenges

Keep Off the Grass: Mitigating the Risks of Banking Marijuana-Related Businesses

A Match Made in Risk Management Heaven: AML

CONNECTING FINANCIAL CRIME PREVENTION PROFESSIONALS FROM AROUND THE WORLD

*Based on the 2018 New York North America attendee list.
June 20, 2019 | 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.

Separate registration is required. To register, please contact us on +1 305.373.0020 or via email at info@acams.org. See back page for details on how you may qualify for a complimentary offer.

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June 20, 2019 | 9:00 AM–12:00 PM

**WORKSHOP: NAVIGATING THE BRAVE NEW WORLD OF RISK MODELS**

Today’s fast-changing AML environment means that legacy risk models need to be rethought and retooled to capture the potential of rapid technological advances and risk models, and adequately manage new risks in areas, such as virtual currencies, cybercrime and Fintech innovations. Creating a model that can effectively manage and mitigate these risks by utilizing cutting-edge tools, such as artificial intelligence (AI), machine learning and data analytics is critical to strengthening your AML oversight. Join our expert panelists for a hands-on and in-depth tutorial on renovating risk models. Dynamic discussions will analyze the latest trends impacting risk models, and attendees will participate in interactive exercises to establish best practices for updating them in ways that strengthen oversight going forward.

**Key Areas Covered**
- Optimizing new risk assessments tools, such as AI and machine learning, to modernize your risk analysis protocols
- Achieving comprehensive risk assessment through enhanced oversight of emerging risk management challenges, such as cybercrime, cryptocurrencies and digital identities
- Quantifying risk model effectiveness by developing metrics-driven testing to identify and rectify potential systemic vulnerabilities, such as data integrity and algorithmic bias

**Who Should Attend**
Risk models are the foundation of every institution’s AML program; therefore, this workshop on updating risk models is beneficial for all compliance professionals. It would be of special interest to risk management officers, relationship managers, onboarding personnel and specialists in technologies, such as data analytics and artificial intelligence. This workshop will also aid consultants and compliance staff trainers by providing them with valued expertise in the next era of risk models.
ACAMS members can receive up to 12 CAMS credits for attending this event; 6 credits for the main conference, 3 credits for the pre-conference workshop or 6 CAMS credits for the examination preparation seminar.

**CONTINUING EDUCATION CREDITS**

<table>
<thead>
<tr>
<th>Main Conference</th>
<th>CAMS Seminar</th>
<th>Workshop</th>
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<td>6 CAMS</td>
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ACAMS is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education of the National Registry of CPE Sponsors.

State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding sponsors may be submitted to the National Registry of CPE Sponsors through its website: HYPERLINK "http://www.nasbaregistry.org" www.nasbaregistry.org. This Group-live delivery program qualifies for up to XX CPE credits. There are no prerequisites and no advanced preparation is required to attend this conference. Program level: Basic.

For more information regarding administrative policies, such as concerns and refund, please contact our offices at (305) 373-0020. In accordance with the standards of the National Registry of CPE Sponsors, CPE credits have been granted based on a 50-minute hour. National Registry of CPE Sponsors identification number: 130229. Field of Study: Accounting, Auditing, Finance, Information Technology, Management Services, Regulatory Ethics, Specialized Knowledge.

*ACAMS is seeking accreditation for CLE credits through the New York State Board.*

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**VIRTUAL BROADCAST**

**Can’t travel to the conference?** This convenient online training option allows you to watch a live video of keynote addresses, special presentations and general conference sessions.

Benefits of going virtual:
- Access a library of video and downloadable audio session recordings
- Submit questions to presenters and chat with online participants
- Receive a certificate of participation and earn CAMS credits
THURSDAY, JUNE 20, 2019

8:00 AM – 9:00 AM  CAMS Examination Preparation Seminar and Workshop Check-in (*Separate registration required.*)

9:00 AM – 4:30 PM  CAMS Examination Preparation Seminar

9:00 AM – 12:00 PM  Workshop: Navigating the Brave New World of Risk Models

FRIDAY, JUNE 21, 2019

7:00 AM – 4:00 PM  Registration Desk Open

7:00 AM – 3:15 PM  Exhibit Area Open

7:00 AM – 8:00 AM  *Networking Continental Breakfast in Exhibit Area*

8:00 AM – 8:10 AM  Welcome Remarks

8:10 AM – 9:00 AM  Mid-Year Policy Update: News and Views on the Latest Risk Management Issues

9:00 AM – 9:30 AM  *Special Presentation with Q&A*
    John E. Smith, Partner, Morrison & Foerster LLP, Former Director, OFAC

9:30 AM – 10:30 AM  Managing Sanctions Risks in a Shifting Regulatory Landscape

10:30 AM – 11:15 AM  *Networking and Refreshment Break in Exhibit Area*

11:15 AM – 12:15 PM  Keep Off the Grass: Mitigating the Risks of Banking Marijuana-Related Businesses

12:15 PM – 1:15 PM  *Networking Luncheon*

1:15 PM – 2:15 PM  CDD Final Rule: Practical Solutions for Problematic Challenges

2:15 PM – 2:45 PM  *Special Presentation with Q&A*
    Jake Bernstein, Pulitzer Prize-winning journalist, author of Secrecy World: Inside the Panama Papers Investigation of Illicit Money Networks and the Global Elite

2:45 PM – 3:15 PM  *Networking and Refreshment Break in Exhibit Area*

3:30 PM – 4:30 PM  A Match Made in Risk Management Heaven: AML Compliance and Artificial Intelligence

4:30 PM – 4:35 PM  Closing Remarks
CONFERENCE SPEAKERS

John E. Smith  
Partner, Morrison & Foerster LLP, Former Director, OFAC

Task Force Chair  
Kieran Beer, CAMS  
Chief Analyst and Director of Editorial Content  
ACAMS

Marina Adams  
AVP Compliance & Privacy Officer  
Federal Reserve Bank of New York

Lukas Babiak  
BSA/AML Lead for International Banking Supervision out of New York, OCC

William Badinelli, CAMS  
Managing Director, Internal Audit  
JPMorgan Chase & Co.

John J. Byrne, Esq., CAMS  
Vice Chairman  
AML RightSource

Jason Chorlins  
Principal, Banking Practice Leader, Kaufman Rossin & Co.

Lindsay Dastrup  
CAMS-Audit, CAMS-FCI Vice President – Audit Leader  
American Express

Elizabeth Davy  
Partner  
Sullivan & Cromwell

Brian Filbert  
Head of Global Financial Intelligence Unit  
JPMorgan Chase

Susan Galli, CAMS  
President  
Galli AML Advisory LLC

Michael Greenman  
Senior Vice President, Chief Counsel, AML and Economic Sanctions Law, U.S. Bank

Bari N. Koss  
Executive Director, Global Financial Crimes, Global KYC Advisory  
Morgan Stanley

Jake Bernstein  
Pulitzer Prize-winning journalist, author of Secrecy World: Inside the Panama Papers Investigation of Illicit Money Networks and the Global Elite
Conference Speaker

Salvatore R. LaScala
AML Practice Leader, Managing Director, Global Investigations and Compliance Navigant

Rock T. Magleby-Lambert
Senior Vice President, Model Risk Management PNC Bank

Jeffrey J. Pedecine, CAMS-FCI
Head of Sanctions Apple Bank

Anthony Rodriguez, CPA, CAMS
Chief Global Compliance Officer AFEX

Michael S. Schidlow, CAMS-Audit
SVP, Head of FCC and Emerging Risk Audit Development HSBC

Rick A. Small, CAMS
Director Financial Crimes Program BB&T

Aaron Smith, PhD
Chief Data Science Officer, CipherTrace

Jack Sonnenschein, CAMS-Audit
Founder and Principal Compliance Navigation LLC

Dan Stipano
Partner Buckley Sandler LLP

Susan Tuccillo, CAMS
Senior Vice President, Head of Compliance Nordea Bank

Evan Weitz
Managing Director, Head of Controls, Europe and Americas, Financial Crime Compliance Standard Chartered

Tao Zhang
Senior Vice President, Legal and Compliance Department, Bank of China USA

Task Force Member

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DIAMOND SPONSOR | EXHIBITOR

3i Infotech, a global information technology company with comprehensive IP based software solutions and IT services, has successfully empowered and transformed business operations of customers globally in Banking, Financial Services, Insurance and Government. Its flagship products include AMLOCK™ Financial Crime Solution, Kastle™ Universal Banking Solution, MFund™ Asset Management Solution, Orion® ERP and Premia® Core Insurance Solution.

The company provides robust capabilities in the services domain with offerings in consulting and business optimization with deep expertise in mobility, data analytics, big data, and application development – all under the umbrella brand, Altiray™.

With a global footprint of over 5000 employees across 24 offices and a strong base of over 1200 customers in North America, EMEA and Asia Pacific, the organization brings immediate benefits of best practices use and subject matter knowledge to its customers.

EXHIBITOR

The Association of Certified Anti-Money Laundering Specialists® (ACAMS®) is a member of Adtalem Global Education (NYSE: ATGE), a global education provider headquartered in the United States. ACAMS is the largest international membership organization dedicated to enhancing the knowledge and skills of anti-money laundering (AML) and financial crime prevention professionals from a wide range of industries, with extensive resources designed to develop and sharpen the skills required for superior job performance and career advancement. Its CAMS certification is the most widely recognized AML certification among compliance professionals worldwide.

EXHIBITOR

Alessa is a financial crime detection, prevention and management solution offered by CaseWare RCM Inc. With deployments in more than 20 countries in banking, insurance, FinTech, gaming, manufacturing, retail and more, Alessa is the only platform organizations need to identify high-risk activities and stay ahead of compliance. To learn more about how Alessa can help your organization ensure compliance, detect complex fraud schemes, and prevent waste, abuse and misuse, visit us at www.alessa.caseware.com.

EXHIBITOR

AML RightSource is the leading provider of AML/BSA and Financial Crimes co-sourcing solutions. We provide highly trained AML/BSA professionals to assist financial institutions with compliance tasks from transaction monitoring to alert backlog management and enhanced due diligence reviews. We have nearly 600 AML/BSA professionals and perform our services directly from our secure facilities in Cleveland, Ohio and Phoenix, Arizona.
EXHIBITOR
With information on nearly 300 million companies, we are the resource for company data. We capture and treat private company information for better decision making and increased efficiency. Our detailed, reliable information for third-party due diligence, AML and KYC compliance helps you minimize reputation damage and risk exposure.

PLATINUM SPONSOR | EXHIBITOR
CipherTrace develops cryptocurrency Anti-Money Laundering, bitcoin forensic and blockchain threat intelligence solutions. CipherTrace was founded in 2015 by experienced Silicon Valley entrepreneurs with deep expertise in cybersecurity, eCrime, payments, banking, encryption, and virtual currencies. DHS S&T and DARPA initially funded CipherTrace, and it is backed by leading venture capital investors.

EXHIBITOR
Crowe is a public accounting, consulting, and technology firm that combines deep industry and specialized expertise with innovation. We collaborate with our clients to confirm that their people, systems, and technology work together to strengthen their organization. Our team of risk professionals have a long history of helping banks and financial institutions optimize AML and sanctions related compliance programs with a hands-on approach that delivers sustainable results. Our focuses include:
- Regulatory response & management
- Independent AML review
- AML model validation
- AML system implementation
- Beneficial ownership & CDD/KYC
- Data quality & integration
- Business support services
- Crowe AML technology

EXHIBITOR
More than 1,200 organizations across 70 countries worldwide use anti-money laundering and fraud detection software from Fiserv. It’s highly effective, efficient and adaptive to uncover even the most sophisticated crime schemes. Fiserv has helped clients manage financial crime risk for more than 20 years, including banks, credit unions, brokerages and insurance organizations. Our ongoing development and road map is informed by organizations such as Financial Action Task Force (FATF), FinCEN, European Central Bank and the Wolfsberg Group. Our goal is to provide the tools, solutions and expertise to support our customers’ AML and fraud programs today and in the future.
EXHIBITOR

Genpact (NYSE: G) is a global professional services firm that makes business transformation real. We drive digital-led innovation and digitally-enabled intelligent operations for our clients, guided by our experience running thousands of processes primarily for Global Fortune 500 companies. From New York to New Delhi and more than 25 countries in between, we connect every dot, reimagine every process, and reinvent companies’ ways of working. www.genpact.com

EXHIBITOR

GRC Solutions has been helping financial institutions manage technology risks for over 20 years. We provide BSA/AML and OFAC risk assessments, model validations, system calibrations, Part 504 and Part 500 consulting, lookback reviews, IT/Cybersecurity risk assessments, outsourced CISO services, strategic planning and other advisory services. Call 855-860-4777 to learn more.

EXHIBITOR

Kroll is the leading global provider of risk solutions. For more than 45 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. For more information, visit www.kroll.com.

PLATINUM SPONSOR | EXHIBITOR

Navigant Consulting, Inc. (NYSE: NCI) is a specialized, global professional services firm that helps clients take control of their future. Navigant’s professionals apply deep industry knowledge, substantive technical expertise, and an enterprising approach to help clients build, manage, and/or protect their business interests. With a focus on markets and clients facing transformational change and significant regulatory or legal pressures, the firm primarily serves clients in the healthcare, energy, and financial services industries. Across a range of advisory, consulting, outsourcing, and technology/analytics services, Navigant’s practitioners bring sharp insight that pinpoints opportunities and delivers powerful results.

GOLD SPONSOR | EXHIBITOR

Protiviti is a global consulting firm helping companies solve challenges in risk and compliance, technology, operations, and internal audit, and has served a majority of Fortune 100 Financial Services firms through our 70+ offices in over 20 countries. Our dedicated AML team assists clients with AML program design and implementation, system selection and tuning, compliance reviews and audits, and regulatory remediation.
GOLD SPONSOR | EXHIBITOR
The Financial & Risk business of Thomson Reuters is now Refinitiv. One of the world’s largest providers of financial markets data and infrastructure, and serving more than 40,000 institutions in over 190 countries, we provide solutions for managing enterprise risk, corporate governance, customer and third party risk, regulatory compliance, and KYC/AML/financial risk effectively. Our 160-year Reuters heritage of integrity enables customers to make critical decisions with confidence, while our unique open platform, best-in-class data, and cutting-edge technology bring greater opportunity to our customers. To learn more, contact sales or visit refinitiv.com.

EXHIBITOR
Skopenow is an analytical search engine that uses social media and open web data to detect fraud for threat, KYC, and AML purposes. As a SaaS platform we provide comprehensive digital records containing actionable insight. Reports include: Social Media Data, Link Analysis, Enhanced Data Extraction, Tracking Summaries, and Behavior Analytics.

EXHIBITOR
The Data Initiative is a data and technology company built by experts, not just engineers. We unify and curate disparate data used to support critical business decisions. We offer financial crimes risk and compliance professionals data/software-as-a-service (D/SaaS) solutions through our innovative ignitionX web application. Intelligence insights, delivered.

GOLD SPONSOR | EXHIBITOR
Highly regulated firms rely on Thomson Reuters to identify the hidden risk of doing business with a customer or third party and protect against regulatory & reputational risk. We provide Know Your Customer (KYC) and Third Party customer identification solutions for any market or organization - as well as capabilities for client on-boarding, screening software, enhanced due diligence and transaction monitoring – leveraging leading products such as World-Check and CLEAR.

EXHIBITOR
Verafin is a leader in cloud-based, cross-institutional Fraud Detection and Anti-Money Laundering (FRAMLx) collaboration software with a customer base of over 1300 financial institutions across North America. Its uses cross-institutional, behavior-based analytics to help financial institutions stay a step ahead of fraud and BSA, USA PATRIOT Act, and FACTA compliance landscape, while allowing them to collaborate cross-institutionally. Verafin is the exclusive provider for the CBA, FBA, IBA, MBA, CUNA Strategic Services, a preferred service provider of the ICBA, and has industry endorsements in 44 states across the U.S.
A block of rooms at the New York Marriott Marquis has been reserved at a special rate for this event. The last day to reserve rooms at the group rate is May 30, 2019, 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.

**Reservation Phone:** 877.303.0104  
**Group Code:** ACAMS

*Online reservations include special pricing and do not require group code. Select “Attendee.”

### PRICING AND OFFERS

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### CAMS EXAMINATION PREPARATION SEMINAR

Boost your professional development while at the conference and participate in the CAMS Examination Preparation Seminar on June 20, 2019. This seminar is complimentary and exclusive to conference attendees who purchase the CAMS certification package or are in the process of becoming CAMS certified. To register, please contact us on +1 305.373.0020 or via email at info@acams.org.