

## Pre-Conference Training

### Monday 5/8

8:00AM-9:00AM	CAMS Examination Preparation Seminar Check-in (Separate registration required.)
8:00AM-7:00PM	Main Conference Registration Desk Open
8:00AM-9:00AM	Pre-Conference Workshop A Check-in (Separate registration required)
9:00AM-4:30PM	<p>CAMS Examination Preparation Seminar</p> <p>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. To register for a live-preparation seminar please contact <a href="mailto:salesrequests@acams.org">salesrequests@acams.org</a>.</p>
9:00AM-12:00PM	<p>WORKSHOP A</p> <p>*Separate registration required. Please inquire with your Account Representative.</p>
12:00PM-1:00PM	Workshop B Check-in (Separate registration required.)
1:00PM-4:00PM	<p>WORKSHOP B</p> <p>*Separate registration required. Please inquire with your Account Representative.</p>
5:00PM-5:30PM	ACAMS First-Time Attendee Orientation
5:30PM-7:00PM	Welcome Reception in South Palm Court

# Day 1

## Tuesday 5/9

7:30AM-5:10PM	Registration Desk Open
7:30AM-6:10PM	Exhibit Hall Open
7:30AM-8:30AM	Networking Continental Breakfast in Exhibit Hall
8:30AM-8:40AM	<p>Welcome Remarks</p> <p>Scott Liles, Chief Executive Officer, <b>ACAMS</b></p>
8:40AM-9:10AM	Keynote Presentation and Q&A
9:10AM-10:35AM	<p>Regulatory Roundtable: Inside Insights from the Leaders of Oversight</p> <p>ACAMS Hollywood is where the compliance world's thought leaders gather – and that includes the top-tier regulators who guide the agencies that develop the standards that AML professionals must meet. At this authoritative and fact-packed session, regulators from multiple oversight agencies share insights and observations on all things AML – from initiatives like FinCEN's National Priorities to the ever-changing trajectories of sanctions against Russia and other bad actors to evolving expectations for issues like the effectiveness standard. No matter the size or nature of your institution, this panel presents a can't-miss opportunity to hear firsthand about compliance trends affecting the private sector from the public sector authorities driving the change. <b>Moderator:</b> Kieran Beer, CAMS, Chief Analyst, Director of Editorial Content, <b>ACAMS</b></p> <p><b>Presenters:</b>          Donna M. Murphy, Deputy Comptroller for Compliance Risk, <b>Office of the Comptroller of the Currency (OCC)</b></p>
10:35AM-11:05AM	Networking and Refreshment Break in Exhibit Hall
11:05AM-12:05PM	<p>Global FIU Discussion: Sharing Insights, Priorities, and Perspectives</p> <ul style="list-style-type: none"> <li>· Understanding the purpose and priorities of Egmont and FIUs attending, including the membership, working groups, and regional groups, and discussing information sharing initiatives and challenges</li> <li>· Addressing the FIU's capabilities and involvement in the fight against terrorism, Money Laundering, Sanction Evaders, corruption, and other illicit financial crimes and coordinating with Law Enforcement and the financial sector</li> <li>· Detailing initiatives to modernize the AML regimes, including STR/SAR reporting, information and data sharing, and public/private partnerships</li> </ul> <p>Himamauli Das, Acting Director, <b>FinCEN</b></p>

12:05PM-1:20PM	Networking Luncheon
12:05PM-1:20PM	Knowledge Luncheon
1:20PM-1:50PM	Networking for Caribbean and Latin America  Beautiful beaches and warm waters are pretty much the norm for attendees from offshore financial centers, so this networking session provides a friendly alternative to fun in the sun: Friendly socializing with your neighbors (figuratively speaking.) Catch up with old acquaintances – and make some new ones – at this assemblage of professional peers from the dynamic community of AML and compliance specialists hailing from the vibrant world of financial centers from the Caribbean and Latin America.
1:20PM-1:50PM	TBA
1:20PM-2:20PM	Financial Crime Case Study: Bitcoin, Drug Proceeds and an Unlicensed NYC MSB  <ul style="list-style-type: none"><li>· Reviewing methods Mustafa “Mustangy” Goklu marketed his financial services on peer-to-peer trading platforms to gain insights into business models of illicit crypto asset conversion</li><li>· Detailing undercover DEA operation that established contact with Mustangy and conducted multiple exchanges as part of scheme to launder purported Bitcoin proceeds of drug trafficking</li><li>· Tracing criminals’ transfers of bitcoin to Goklu’s cryptocurrency wallet to avoid detection by law enforcement in exchange for cash to be integrated into mainstream financial services</li></ul>
1:20PM-2:20PM	A High Priority, on Highest Authority: Operationalizing FinCEN’s National Priorities  <ul style="list-style-type: none"><li>· Reviewing announced FinCEN National Priorities to analyze full scope of BSA/AML obligations in areas such as anti-corruption, cybercrime, TCOs and foreign and domestic terrorist financing</li><li>· Assessing operational impact in areas such as client profiles, business lines and geographic footprint to evaluate strategies for incorporating FinCEN Priorities into existing AML programs</li><li>· Gauging potential effects of FinCEN Priorities in areas such as KYC/CDD of clients and vendors to ensure new standards are incorporated into operating agreements going forward</li></ul>

1:20PM-2:20PM

### Upgrading Risk Rating: Calibrating Controls to Address and Assess Evolving AML Needs

- Simplifying oversight modeling across enterprise with standardized inputs such as geographic and sectoral factors to achieve consistent and holistic risk assessments across business lines
  - Implementing rigorous data verification controls to address issues such as inconsistent or ambiguous information and ensure risk rating accuracy based on highest-quality intelligence
  - Assembling quality control teams of IT specialists, compliance leaders and subject matter experts to update workflows, test algorithms and update risk rating protocols as warranted
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1:20PM-2:20PM

### Sanctions Evasion Threat Planning Assumptions: New Typologies, Techniques

Post-Feb 2022 sanctions against Russia have put sanctions evasion front and center as both financial institutions and corporates scramble to map and reduce exposure, to spot unusual or borderline activity amid a myriad of exemptions for conducting legitimate business. Our experts will set out the latest sanctions evasion trends, including how hidden ownership is necessitating the need for a fresh look at the practical aspects of ownership and control. Drawing upon real life case studies, investigations, and REPO task force activity our panel will share thoughts on threat planning assumptions in respect to areas of heightened risk, allocation of compliance and investigative resources, and overall sanction evasion risk mitigation and threat planning.

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1:20PM-2:20PM

### Reach for the SARs? Formalizing Protocols for Electing or Declining to File a SAR

- Outlining when SAR is required such as insider abuse of any amount or transactions violating BSA to build staff awareness of mandates including 30-day filing deadline after initial detection
  - Configuring monitoring to flag defined suspicious activities such as transactions counter to account purpose or unclear funding sources to initiate review processes and data-gathering
  - Weighing assembled evidence such as how activity took place and potential reasonable explanations to ensure SAR-filing determinations are thorough, well-articulated and defensible
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1:20PM-2:20PM

Fix the System: Adjusting Tech as Data Quality, IT Capacity and AML Objectives Evolve

- Utilizing evolving AI-related innovations such as cognitive computing to bolster data analytics and leverage AML resources in areas such as KYC, anomaly detection and risk assessment
  - Outlining methods to keep tech systems robust with cloud-based services such as Software as a Service (SaaS) to support AML functions including data enrichment and fraud detection
  - Understanding increasing AML applications for machine learning tools such as algorithm-led graph analytics to detect relationships among entities and evaluate potential criminal networks
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1:20PM-2:20PM

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1:20PM-2:20PM

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1:50PM-2:20PM

Networking for Women in AML

A compliance career requires grit, ambition and intelligence to get ahead. And women leaders in the AML field may face a unique set of challenges such as managing work/life balances, corporate cultures that might view assertive female leaders negatively, and difficulty in finding supportive mentors and peers. Join us at this informal networking session, where the only agenda is to meet like-minded colleagues, discuss common career hurdles for women in AML and, of course, strategies for overcoming them.

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1:50PM-2:20PM

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2:20PM-2:40PM

Networking and Refreshment Break in Exhibit Hall

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2:40PM-3:10PM

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2:40PM-3:40PM

Hot on the Case: HSI's Operation Boiling Point Takes On Organized Retail Crime

- Outlining facilitation by Organized Theft Groups (OTGs) of Organized Retail Crime (ORC) in US, generating \$70 billion annually to fund illicit such as drug trafficking and money laundering
  - Reviewing ORC laundering typologies such as use of fencers to sell goods via e-commerce or sales to legitimate wholesale/distribution firms to reintroduce stolen product to supply chains
  - Examining how HSI's Operation Boiling Point targets domestic and transnational OTGs with public-private partnering and officers from state, federal and local law enforcement agencies
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2:40PM-3:40PM

### The AML Act's Next Act: A Clear-Eyed Analysis of AMLA 2020 Trends and Outlook

- Examining the Corporate Transparency Act final rule to delineate requirements for beneficial ownership information reporting and prepare appropriately for Jan. 1, 2024 effective date
  - Updating status of FinCEN's proposed rulemaking on no-action letters to gain insights on how process would work and could impact compliance management at financial institutions
  - Surveying anticipated AMLA impacts in areas such as broader adoption of technology by BSA programs and supporting public-private partnerships and information sharing initiatives
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2:40PM-3:40PM

### An Inside Look: Best Practices for Conducting Internal Risk Assessments to Bolster AML

- Cataloging products and services, clients and geographic markets to prioritize categories of BSA/AML risk and develop strategic plans to conduct assessment based on institutional profile
  - Reviewing individual components within categories and assigning metrics-based ratings to assess degree of comparative risks and identify potential conflicts with risk appetite
  - Auditing AML systems for effectiveness in managing identified risks to determine systemic deficiencies and take remedial actions such as strengthened controls or added IT capacity
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2:40PM-3:40PM

### The Rise and Trajectory of Cyber, Human Rights and Corruption Sanctions Regimes - the impact of horizontal regimes on sanctions compliance

This session will offer an analysis on the rise and trajectory of horizontal sanctions regimes to combat cybercrime, corruption, and human rights abuses, including those perceived to be engaged in forced labor or crackdowns on pro-democracy movements.

Experts will explore the types of individuals and entities being targeted by sanctions, recent findings from forced labor reports, implications for risk assessment, compliance frameworks and global operations.

The panel will further examine anticipated future hot spots for designations and enforcement, plus offer guidance on overall best-practice mitigation efforts for managing exposure to sectors and jurisdictions considered higher risk.

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2:40PM-3:40PM

Written in the SARs: Producing SAR Narratives of Optimal Value to Law Enforcement

- Identifying suspicious activity elements of prime relevance to law enforcement such as who, what, when and how to guide narrative flow enhance value of information to investigators
- Following FinCEN and FFIEC guidance for constructing concise narratives that are free of jargon, comprehensive and chronological to provide clear view of reasoning behind SAR filing
- Reviewing law enforcement cases supported by BSA data and SARs as recognized by FinCEN to highlight best practices for producing narratives that assist in fighting financial crime

2:40PM-3:40PM

Reality Check on Tech: Analyzing Benefits, Limitations and Risks of AI's Role In AML

- Detailing AI's strengths in AML such as superior capacity to process data and detect concealed patterns or illicit networks through both supervised and unsupervised learning
- Discussing challenges in implementing and managing AI in risk management such as integration with legacy systems, data/privacy protection and acquiring human expertise
- Identifying risks involving AI such as algorithmic bias and deciphering results from "black box" computing to develop controls in areas such as data testing and system transparency

**Presenters:**

Meera Das, Vice President, AML Modeling, Data and Analytics, **Capital One**

2:40PM-3:40PM

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2:40PM-3:40PM

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3:10PM-3:40PM

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3:40PM-4:10PM

Networking and Refreshment Break in Exhibit Hall

4:10PM-4:40PM

Networking for Law Enforcement and Banking Professionals

Want to strengthen your private/public network for optimal collaboration? This connection corner brings together law enforcement and banking professionals from across the highly diverse AML universe for contact creation, casual conversation and informal exchanging of ideas and interests. There's no agenda, and the sole learning goal is the names of new friends and fostering partnerships.

4:10PM-5:10PM

### AML Policies That Pay Off: Strengthening Anti-Bribery and Corruption Oversight

- Reviewing recent corruption cases including Miami conviction of former Venezuelan national treasurer to identify typologies of bribery and related multi-national money laundering activities
  - Analyzing FinCEN's kleptocracy/corruption advisory to adapt monitoring for red flags such as luxury goods purchases by foreign public officials and funds transfers via high-risk jurisdictions
  - Formalizing ABAC risk management protocols such as outreach to law enforcement and NGOs, peer group data sharing and prompt alert resolution and SAR filing as indicated
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4:10PM-5:10PM

### SWIFT Moves: Smart Strategies for Adopting the New ISO 20022 Payments System

- Detailing ISO 20022 payment messaging benefits such as structured and data-rich common payment language to enhance both analytics opportunities and operating efficiencies
  - Examining Fed's upcoming FedNow Service instant payments infrastructure to identify 20022 messaging specifications in areas such as requests for payment and customer credit transfers
  - Crafting an ISO 20022 implementation plan to include areas such as IT upgrade needs, model validation tools and future adaptability to ensure optimal results of system migration process
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4:10PM-5:10PM

### Checking IDs: Taking Ownership of Mitigating Beneficial Owner Verification Risks

- Assessing relevant risks such as opaque corporate structures and obscured controlling parties to develop beneficial owner verification protocols for client onboarding, KYC/CDD and EDD
  - Analyzing evolving beneficial ownerships tools and trends such as Corporate Transparency Act and other registries, OSINT and public-private collaboration to strengthen UBO investigations
  - Reviewing impact of Russian sanctions on areas such as monitoring, evasion typologies and PEP exposure to develop UBO controls for cross-border transactions and related global risks
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4:10PM-5:10PM

### Fund Raising through Crypto – Sanctions Evasion and Terrorism

Like other financial products and services, crypto present risks for facilitating criminality, including sanctions evasion and terrorist financing. Drawing upon recent regulatory actions, government advisories and open-source intelligence this session will examine the extent that crypto is a tool for sanctions evasion and illicit fund raising. Our experts will explore current reporting on the use of non-fungible tokens by sanctioned Russian militias and Islamic State connected entities, alongside wider fund-raising methodologies and the specific risks posed for the international financial system. We will conclude with offering some practical solutions for assessing and mitigating crypto risks.

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4:10PM-5:10PM

### SAR Command: Battle Plans to Safely and Effectively Curb Excessive Filing Volumes

To paraphrase a saying about the weather, everybody complains about high SAR volumes, but nobody does anything about it. Maybe it's time – beginning with this lively, thought-provoking and interactive panel. Led by seasoned compliance veterans, the forum-style session will debate and rate your questions and suggestions on safely reducing filing volumes. Whether it's exiting SAR-heavy accounts, reducing "defensive SARs" through stronger KYC or maybe just chatting with examiners, bring your theories and queries on changing, if not the weather, the current climate of escalating SAR filing volumes.

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4:10PM-5:10PM

### Computing a Solution: How to Pick the Appropriate AML Tech Vendor

- Consulting compliance and business line leaders to discern institutional risk management priorities and identify opportunities to utilize third-party vendors to enhance AML effectiveness
  - Vetting potential vendors with metrics-based assessments in areas such as product and services, cybersecurity and scalability to assess compatibility with institutional goals
  - Crafting vendor integration plan to maintain AML discipline during transition and conducting post-installation review to evaluate performance and jointly correct systemic issues as needed
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4:10PM-5:10PM

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4:10PM-5:10PM

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4:40PM-5:10PM

### Networking for Sanctions Professionals: Ask the Experts

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5:10PM-6:10PM

Networking Reception in Exhibit Hall

## Day 2

### Wednesday 5/10

7:30AM-5:20PM	Registration Desk Open
7:30AM-5:20PM	Exhibit Hall Open
7:30AM-8:30AM	Networking Continental Breakfast in Exhibit Hall
8:30AM-8:35AM	Opening Remarks
8:35AM-9:05AM	Keynote/ Special Presentation
9:05AM-10:05AM	<p>Weathering Crypto Winter: The Forecast for Digital Assets</p> <p>From the shocking collapse of FTX to the stunning price drops in leading virtual currencies, the last year has tested the digital assets market to an unprecedented degree. Some leading economists are suggesting a perilous path ahead for cryptos, with some questioning whether they can ever regain the momentum they enjoyed just a few years ago,. But others note that these innovative financial products have suffered serious setbacks before – and always rebounded. This session brings together thought leaders from across the financial services spectrum to assess what crypto winter has taught us – and assess the prospects for a crypto spring.</p>
10:05AM-10:35AM	Special Presentation
10:35AM-11:05AM	Networking and Refreshment Break in Exhibit Hall
11:05AM-12:05PM	<p>Dynamics of the Global Sanctions Landscape and Its Convergence with AML</p> <p>Russia’s invasion of Ukraine resulted in sanctions becoming an unprecedented tool of foreign policy response. Looking into 2023 and beyond, our expert panel will examine the sanctions trajectory and its anticipated influence on the overall compliance landscape. We will offer an analysis on the state of play between world economies, the emergence of sanctions and AML risks, proposals to forfeiture sanctioned Russian assets and potential major flash points for sanctions compliance. The panel will conclude with a forward-leaning assessment of the top priorities for G7 allies and national parliaments, as well as examining how industry can best ensure readiness for future geopolitical, regulatory, and legislative developments. <b>Moderator:</b> Dr. Justine Walker, Head of Global Sanctions and Risk, <b>ACAMS</b></p>
12:05PM-1:20PM	Networking Luncheon

1:20PM-2:20PM

### The Typologies of 'Pig Butchering' and Other Emerging Scams

- Tracing how organized “shazhupan” rings in China connect with US victims through tools such as unsolicited texts or social media to foster trusting relationships of casual nature
  - Detailing how targets are eventually led to bogus financial portals offering unusually high returns and place increasing sums in accounts which bad actors loot before disappearing
  - Analyzing lessons learned from recent criminal cases resulting in indictments related to ‘pig butchering’ to build staff awareness of red flags and protect customers most at risk
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1:20PM-2:20PM

### Age-Related Fraud: Detection and Protection Systems to Counter Elder Financial Abuse

- Building staff awareness of multiple typologies of elder fraud such as caregiver/kin exploitation, romance scams and impersonation of government authorities or financial service providers
  - Creating risk management controls for unique elder fraud indicators such as abrupt power of attorney changes or aberrant spending patterns to detect and resolve red flags of exploitation
  - Engaging with law enforcement and social service providers to maintain awareness of elder fraud trends and establishing protocols for notifying authorities and filing SARs as warranted
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1:20PM-2:20PM

### Caribbean Spotlight on Correspondent Banking: Can Managing the Risks Mean Reaping the Rewards?

- Analyzing existing product lines and services to determine potential opportunities to offer correspondent accounts while maintaining institutional risk appetite and tolerance standards
  - Conducting risk assessment of respondent bank in areas such as AML policies, ABAC oversight and culture of compliance to determine parameters of correspondent relationship
  - Attaining senior management and business line buy-in on correspondent banking oversight to establish core principles in areas such as staff training, client monitoring and conflict resolution
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1:20PM-2:20PM

## Doubling Down Against Financial Crime: Making Public-Private Partnerships Work

Law enforcement officers and AML professionals share a common mission: Catching crooks. From fraudsters to narco-traffickers, corrupt politicians to terrorists, the goal in both the public and private sectors is to do well by doing good. And in a time of pinched resources and increasingly sophisticated criminals, it only makes sense to do it together. But how? In this session, panelists from law enforcement agencies and financial institutions do a deep dive on bridging divides in areas such as organizational cultures, data privacy and investigative methods – all in the pursuit of producing collaborative efforts that leverage resources and better serve the public interest.

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1:20PM-2:20PM

## Proceed – With Caution: Strategies to Safely Manage High-Risk Accounts

- Assessing institutional tolerances in areas such as PEPs, jurisdictions and business sectors to identify metrics for measuring, accepting and rejecting accounts from high-risk categories
  - Utilizing controls such as risk stratification within sectors, formalized EDD protocols and automated monitoring to ensure high-risk clients meet institutional and regulatory expectations
  - Tailoring high-risk client reviews to assess issues of special relevance such as new regulations and changes in risk profile to affirm and/or adjust banking relationship as warranted
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1:20PM-2:20PM

## Sanctions War Games - Preparing Internal Table-Top Exercises

With escalating geopolitical uncertainties global institutions are increasingly seeing the benefit in advancing tabletop exercises that stimulate a major development or significant escalation in a sanctions regime scenario. Drawing upon lessons learnt our experts will set out what a tabletop sanctions exercise looks like, who to involve, when to conduct, and how it feeds into upgrading your risk assessment and sanctions compliance program in readiness for new or evolving obligations.

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1:20PM-2:20PM

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1:20PM-2:20PM

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1:20PM-2:20PM

Sponsored Roundtable

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2:20PM-2:50PM

Networking and Refreshment Break in Exhibit Hall

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2:50PM-3:50PM

**Transnational Crime Case Study: Busting the Big Drug Money Laundering Ring of “El Pequeno”**

His nickname of “El Pequeno” apparently references Luis Velazquez-Cordero’s diminutive stature, but to the DEA and other authorities he loomed large – in cross-border money laundering. From his base in the Dominican Republic, Velazquez-Cordero directed conspirators in New Jersey, New York and Florida to pick up millions from drug trafficking organizations, convert it to cashier’s checks at US banks and returned the proceeds – often freshly laundered through shell firms – back to the traffickers. Arrested and extradited to the US, Velazquez-Cordero pled guilty and forfeited his Ferrari, among other possession. Despite the success of this operation, fighting financial criminals like El Pequeno remain a tall order. At this session, learn how it’s done.

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2:50PM-3:50PM

**A Mod Fraud Squad? Debating Merits of Merging Fraud, AML and Cybersecurity Teams**

- Analyzing rationales for combining fraud, AML and cybersecurity teams such as reduced duplication, greater information sharing and potential increases in detection of financial crime
  - Identifying issues in combining teams such as leadership structure, disparate workplace cultures and divergent investigative practices to accurately assess benefits of merging units
  - Standardizing IT systems and communication channels of combined operation and conducting operation reviews to optimize synergies and identify opportunities to enhance effectiveness
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2:50PM-3:50PM

**ESG, AFC: The Emergence of Convergence – And How to Manage It**

- Outlining linkages between ESG and AFC such as collection and analysis of financial data and detection and disruption of criminal activities to understand benefits on converged oversight
  - Detailing how AFC controls can be utilized to strengthen achievement of ESG objectives and identify financial flows from environmental crime such as wildcat gold mining and illegal logging
  - Integrating ESG objectives into AFC programs and taking affirmative actions such as updating risk appetite on ESG policies to establish prohibited entities, individuals and activities
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2:50PM-3:50PM

Money Laundering 90210: A Russian Intelligence Agent Buys Real Estate in Beverly Hills

- Examining indictment of sanction Kremlin asset Andrii Derkach to detail how real estate transactions can facilitate financial crimes including fraud, money laundering and conspiracy
- Reviewing Derkach's utilization of tools such as corporate nominees, shell firms and cross-border wire transfers to detail role of "enablers" in supporting sanction evasion strategies
- Analyzing FinCEN real estate geographic targeting orders and AML best practices to detect and disrupt money laundering schemes involving high-risk non-financed property acquisitions

2:50PM-3:50PM

Severing Links: Mitigating Money Laundering Risks of Supply Chain Disruption

- Surveying how causes of supply chain disruptions such as export controls, global tensions and the Covid pandemic contribute to criminal activities such as illicit trade and sanctions evasion
- Training staff and clients on supply chain due diligence best practices to build awareness of disruption's heightened risks such as vendor turnover and logistical shifts in trade networks
- Utilizing advanced technologies such as AI and data analytics to optimize quality of intelligence related to supply chain disruption and develop robust oversight for changing risk environments

2:50PM-3:50PM

Wars, Terrorism and Sanctions - Money in Money out

Panelists will offer an overview on the latest global threat assessment of designated terrorist groups, including the current international landscape and risk profile of how groups such as Islamic State, Al-Qaeda, and Al-Shabaab are raising and moving money. Specific analysis will be offered of monies moving in and out of regions where terrorism and war are key factors, including an examination of the available mechanisms and tools for distinguishing between legitimate and illicit payments. Panelists will further examine the current context for establishing an effective control environment, including the practical application of recent changes within terrorism and sanctions humanitarian licensing exceptions.

2:50PM-3:50PM

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2:50PM-3:50PM

TBA

2:50PM-3:50PM

Sponsored Roundtable

3:50PM-4:20PM

Networking and Refreshment Break in Exhibit Hall

4:20PM-5:20PM

**Inspect, Connect, Protect: Verifying, Analyzing and Securing Your AML Data**

- Creating controls to detect and redress data quality issues such as ambiguous, inconsistent or incomplete information to heighten accuracy of risk assessments based on vetted intelligence
  - Understanding fundamental tools of data analysis and interpretation such as algorithm-driven analytics, data visualization and auditing results to detect AML risks and respond appropriately
  - Formalizing data security policies such as categorization of data classes by risk, creating data access rules for staff and use of firewalls to mitigate risks of data leakage via malware or hacks
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4:20PM-5:20PM

**Post-Covid: A House Report Alleges Lax Oversight at Some FinTechs Facilitated Fraud**

The allegations were shocking: The House Select Subcommittee on the Coronavirus Crisis alleged rogue FinTech firms facilitated massive defrauding of the Paycheck Protection Program (PPP) during the Covid pandemic. The exhaustive report found evidence of weak controls, willful blindness, self-enrichment and even business ties to criminal gangs. The losses: Estimated in the tens of billions of dollars. This panel will examine the report's findings and debate the following questions: Are they true? Are they fair? What's next?

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4:20PM-5:20PM

**The Quest for AML Solutions at Latin American Financial Institutions**

Latin American financial services industries vary widely in size, scope and sophistication from country to country. But AFC professionals across the multiple jurisdictions have one thing in common: They face daunting challenges in fighting financial crime. Whether it's corruption or narco-trafficking, prohibitively costly technology or mixed results at strengthening AML laws, AFC in Latin America has never been more complex – requiring creative thinking, shared insights and strategic solutions. Our expert Latin American panelists offer all three at this deep dive session, devoted exclusively to this vast and vital region's issues – and answers.

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4:20PM-5:20PM

**Broker-Dealer Perspectives: Tackling Cybercrime, Account Takeovers and AML Controls**

- Reviewing SEC plan to require investment advisers and funds to adopt written cybersecurity policies reasonably designed to mitigate cyber-related risks and report cybersecurity incidents
  - Countering use of compromised client data to conduct account takeovers with defenses such as rigorous entity verification, multi-factor login authentication and formal ATO response plans
  - Cultivating AML controls tailored to specific broker-dealer risks such as product lines and client base, conducting ongoing staff training and creating systems to detect red flags and file SARs
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4:20PM-5:20PM	Anti-Financial Crime Strategies for Latin American Institutions
4:20PM-5:20PM	<p>Broker-Dealer Perspectives: Tackling Cybercrime, Account Takeovers and AML Controls</p> <ul style="list-style-type: none"><li>· Reviewing SEC plan to require investment advisers and funds to adopt written cybersecurity policies reasonably designed to mitigate cyber-related risks and report cybersecurity incidents</li><li>· Countering use of compromised client data to conduct account takeovers with defenses such as rigorous entity verification, multi-factor login authentication and formal ATO response plans</li><li>· Cultivating AML controls tailored to specific broker-dealer risks such as product lines and client base, conducting ongoing staff training and creating systems to detect red flags and file SARs</li></ul>
4:20PM-5:20PM	<p>Battling the Enemy Within: Detecting and Disrupting the Risks of Rogue Employees</p> <ul style="list-style-type: none"><li>· Mitigating risks of new-hire onboarding with formal Know Your Employee controls to identify issues such as potential PEP connections, conflicts of interest and unexplained resume gaps</li><li>· Developing controls such as internal audits, employee rotation and whistleblower hotlines to detect and disrupt rogue employee threats including data breaches, fraud and FCPA violations</li><li>· Assembling evidence such as transaction data to support disciplinary actions, filing SAR and contacting authorities as warranted and rectifying systemic lapses that enabled bad actors</li></ul>
4:20PM-5:20PM	<p>Trade, Technology and Energy - the new frontier in global sanctions compliance</p> <p>Exploring the new frontier in global sanctions compliance, panelists will examine the global complexities of managing trade, energy, technology, and commodities exposure including how the bar has been raised for sanction compliance standards. Our experts will share latest analysis on implementation of the G7 oil price cap, expanding export control and technology restrictions, and risks associated with the emergence of international smuggling and illicit procurement networks. We will explore the types of understanding and due diligence that is now required to facilitate cross-border trade, supply chain risk management, and how best to implement mechanism for successfully navigating sanctions risks within global markets.</p>
4:20PM-5:20PM	TBA
4:20PM-5:20PM	TBA
4:20PM-5:20PM	Sponsored Roundtable
5:30PM-6:30PM	Networking Reception at Portico at Diplomat Landing



## Day 3

### Thursday 5/11

7:30AM-12:00PM	Registration Desk Open
7:30AM-12:00PM	Exhibit Hall Open
7:30AM-8:30AM	Networking Continental Breakfast in Exhibit Hall
8:30AM-8:50AM	Opening Remarks and Hackathon Winner Announcement
8:50AM-9:20AM	Special Presentation with Q&A
9:20AM-10:20AM	<p>Transatlantic Regulatory and Sanctions Enforcement Fireside Chat: Commonalities, Priorities and Cooperation</p> <p>With an increasing desire to promote enhanced transatlantic cooperation our US - UK fireside chat will examine sanctions regulatory perspectives, including areas of convergence and commonality. It will also explore where regulatory priorities are currently, enforcement trends, where firms most often fail to meet their sanctions obligations, and where regulators see priorities going into the future.</p>
10:20AM-10:50AM	Networking and Refreshment Break in Exhibit Hall
10:50AM-12:00PM	<p>ACAMS Presents: Breaking Down Late-Breaking AML News and Hot Topics</p> <p>Can't recall a calm day in the AML world? No one else can, either. Which poses a challenge for the ACAMS Hollywood program, which is published months in advance, meaning lots of things happen in the interim. The solution is this session, dedicated to news so fresh it happened after the agenda went to press. Whether it's a major financial crime case that broke days before the conference, a newly unveiled regulatory proposal, or a global development that may impact your risk management models, the content of this expert-led session is literally ripped from the headlines – and delivered directly to ACAMS Hollywood attendees.</p>
12:00PM-12:05PM	Closing Remarks