

ACAMS AML Risk Management & Securities Summit Program Day 1

Wednesday 6/29

8:00AM-4:50PM

Registration Desk Open

8:00AM-5:50PM

Exhibit Area Open

8:00AM-9:00AM

Networking Continental Breakfast in Exhibit Area

9:00AM-9:05AM

Welcome Remarks

Kieran Beer, CAMS, Chief Analyst, Director of Editorial Content, **ACAMS**

9:05AM-9:35AM

Keynote Address

Moderator

Kieran Beer, CAMS, Chief Analyst, Director of Editorial Content, **ACAMS**

Presenter

Adrienne A. Harris, Superintendent, **New York State Department of Financial Services**

9:35AM-10:25AM

Mid-Year Policy Update: News and Views on the Latest Risk Management and Sanctions Issues

This new year is all about evolution and stability after the chaos brought on by the COVID-19 pandemic. The compliance community is finding its footing with the new AMLA 2020 requirements, the most significant changes to BSA/AML legislation since the US Patriot Act of 2001. Meanwhile, the securities sector has just been presented with the 2022 report on FINRA's Examination and Risk Monitoring Program. ACAMS opens the 9th Annual Risk Management and Securities Summit with an interactive forum driven by input from the audience. Ask challenging questions about the risk management topics you care about most, and receive perceptive answers as the expert panelists provide thoughtful insights on the sweeping changes of the year's first six months, and what may be in store for the second half.

Moderator:

Kieran Beer, CAMS, Chief Analyst, Director of Editorial Content, **ACAMS**

Presenters:

Sarah Green, Principal, Global Head, Financial Crimes, **Vanguard** Meryl Lutsky, Vice President & General Counsel, Chief Compliance Officer, **T&M USA, LLC** Andrea Sharrin, Managing Director, Head of Financial Crimes for the Americas & Global Investment Banking, **Barclays** Daniel Stipano, Partner, **Davis Polk & Wardwell**

10:25AM-10:55AM

Networking Break in Exhibit Area

10:55AM-11:45AM

Hack Job: Waging War on Cybercrime

- Examining FinCEN's guidance on the latest cybercrime trends and typologies and the utility of tools such as safe-harbor information sharing between institutions
- Understanding specific risk mitigation challenges of cyber-enabled financial crime including rapid cross-border transfers and organized cybercrime to develop defensive responses
- Formalizing cybersecurity governance such as encryption protocols, data protection systems and evaluation of third-party vendor controls to safeguard client information and privacy

Moderator:

Joby Carpenter, Global SME, Cryptoassets and Illicit Finance, **ACAMS**

Presenters:

Marina I, Adams, CAMS, Compliance Officer and Assistant Vice President, **Federal Reserve Bank of New York** Joanne Berman, Counsel to Cybersecurity Division, **New York State Department of Financial Services** Chris DePow, Senior Advisor, Financial Institution Regulation & Compliance, **Elliptic** Elizabeth Roper, Chief, Cybercrime and Identity Theft Bureau, **New York County District Attorney's Office**

11:45AM-12:45PM

Networking Lunch

BANKING/FINANCIAL SERVICES
12:45PM-1:35PM

Prioritizing: Examining FinCEN's National Priorities Including Fraud and Corruption to Anticipate Regulatory Expectations

- Studying guidance by FinCEN to ensure risk-based models target corruption laundering typologies related to crimes such as human rights abuses
- Training staff on common fraudulent proceeds laundering methods including complex offshore transfers and money mules to ensure accuracy in areas such as SAR filing
- Developing strategies to incorporate all priorities into legacy compliance systems in areas such as risk exposure in anticipation of final regulations

Moderator:

Hue Dang, CAMS-Audit, Global Head of New Ventures, **ACAMS**

Presenters:

Monty Engel, Executive Director and Assistant General Counsel, **JPMorgan Chase & Co** Lester Joseph, Manager Global Financial Crimes Intelligence Group, **Wells Fargo** Andrea Sharrin, Managing Director, Head of Financial Crimes for the Americas & Global Investment Banking, **Barclays**

RISK
MANAGEMENT/SECURITIES
12:45PM-1:35PM

Fireside Chat with FINRA

Moderator:

Kieran Beer, CAMS, Chief Analyst, Director of Editorial Content, **ACAMS**

Presenters:

Terrence Bohan, Vice President, Enforcement Investigations, **Financial Industry Regulatory Authority (FINRA)** Jamie Udinson, CAMS, Senior Director and Strategic Lead, Office of Strategy and Program Risk, Member Supervision, **Financial Industry Regulatory Authority (FINRA)**

1:35PM-1:40PM

Transitional Break

BANKING/FINANCIAL SERVICES
1:40PM-2:30PM

It's Only Natural: Using ESG Practices to Manage Financial Crime Risk

- Utilizing financial intelligence to identify high risk customers with ties to environmental crimes that hasten climate change, such as illegal logging and waste trafficking
- Integrating ESG protocols into risk management models to strengthen oversight in areas such as supply chain investigations and detect criminal activities such as trafficked labor
- Staying up to date with the latest ESG regulations, including the Federal Reserve's new reporting requirements, and adjusting your institution's risk management system accordingly

Moderator:

Dr. William Scott Grob, CAMS-FCI, CGSS, Director - Research and Analysis, **ACAMS**

Presenters:

Nina Chen, Executive Deputy Superintendent, Climate Division, **New York Department of Financial Services** Patrick Dutton, Regional Head, Financial Crime Risk Assessment, **HSBC** Jin Oh, Senior Director, Solutions Specialist, **Moody's Analytics**

RISK
MANAGEMENT/SECURITIES
1:40PM-2:30PM

What Do You Meme: Understanding Meme Stocks and Their Impact on the Market

- Studying the SEC's recent report on the meme stock experience and their guidance on the gamification of broker dealer platforms and payment for order flow practices
- Examining social media's influence on trading as evidenced by the GameStop frenzy in which individual investors organically used Reddit and Twitter to drive up the company's stock price
- Adjusting your firm's trade surveillance monitoring systems to account for digital interactions and mitigate financial crime risks such as market manipulation by bad actors

Moderator:

John Davidson, Global Head of Financial Crime and Compliance, **WisdomTree Digital Assets**

Presenters:

Sarah Green, Principal, Global Head, Financial Crimes, **Vanguard** Jamie Udinson, CAMS, Senior Director and Strategic Lead, Office of Strategy and Program Risk, Member Supervision, **Financial Industry Regulatory Authority (FINRA)** Aicha Ziba, Senior Compliance Officer/Vice President, Financial Crime Compliance, **Goldman Sachs**

2:30PM-3:00PM

Networking Break in Exhibit Area

BANKING/FINANCIAL SERVICES
3:00PM-3:50PM

Innovation Station: Managing the Risks of Virtual Assets and New Payment Systems

- Understanding how a NY couple conspired to launder billions in bitcoin and transferred the funds between digital wallets, the darknet and online accounts under bogus identities to evade detection
- Preparing for the AMLA's impact on the digital money industry and companies' plans to launch their own crypto currency
- Creating effective risk management strategies amid new crypto developments including the withdrawal of virtual currency to third-party e-wallets and crypto to fiat currency conversions

Moderator:

Shilpa Arora, CAMS, Senior Director - Anti-Financial Crime Portfolio Solutions, **ACAMS**

Presenters:

Valerie-Leila Jaber, Global Head of Anti-Money Laundering, **Coinbase** Coby Moran, Lead Investigator, **Merkle Science** Anthony Luis Rodriguez, CAMS, Compliance Executive / Chief Risk Officer, **Usend**

New Market: Managing the Growing Role of Cryptocurrencies and Blockchain in Securities

- Reviewing the SEC's initiatives to protect investors including the potential monitoring of crypto exchanges and Bitcoin exchange traded funds (ETFs) that would be subject to strict mutual fund rules
- Navigating the adoption of a distributed ledger technology (DLT) platform amid data privacy concerns while upholding KYC standards to avoid money laundering and sanctions evasion
- Establishing a robust risk management strategy, governance and control framework to safeguard your firm from blockchain technology threats such as value transfer and smart contracts

Moderator:

Joby Carpenter, Global SME, Cryptoassets and Illicit Finance, **ACAMS**

Presenters:

Jon Blattmachr, Director and Managing Counsel, **BNY Mellon**
Kenneth Goodwin, Director, Regulatory and Institutional Affairs, **Blockchain Intelligence Group**
Jeff Horowitz, Chief Compliance Officer, **BitGo**

3:50PM-3:55PM

Transitional Break

3:55PM-4:45PM

It Comes with the Territory: Keeping Up with Sanctions and Emerging Geopolitical Risks

The more things change the more they stay the same. It seems that no matter the time in history there is always political instability somewhere in the world. For risk management professionals, who are constantly analyzing politics and geography to determine exposure, this means sanctions challenges. Join our panel of expert speakers as they discuss current and potential sanctions issues, including the escalating situation between Russia and Ukraine, the current export restrictions with China and what it means for your risk management program.

Moderator:

Richard Weber, General Counsel, **New York State Department of Financial Services (DFS)**

Presenters:

Sharon Cohen Levin, Partner, **Sullivan & Cromwell LLP**
Max Lerner, CAMS, CGSS, Managing Director, Global Head Sanctions Compliance and ABC Compliance, **State Street**
Salvatore Scotto, CAMS, Senior Vice President, Legal and Compliance, Head of Sanctions, **Bank of China**

4:45PM-4:50PM

Closing Remarks

Kieran Beer, CAMS, Chief Analyst, Director of Editorial Content, **ACAMS**

4:50PM-5:50PM

Networking Reception in Exhibit Area