

SESSIONS

DAY 1 - GENERAL INTEREST - 22/03/2021

AML & ABC Forum

22-24 March 2021

Virtual Conference

Delivered Live (GMT) & On-Demand Afterwards

Registration & Networking

09:00 - 10:00

Chair's Opening Remarks

10:00 - 10:15

The Science of Misconduct: How regulated Culture Assessments will challenge firms to raise their AML and ABC game

10:15 - 11:00

- What is Conduct regulators' Culture Audit plan and how will they deploy this during 2021?
- How new behavioural research is revealing firms' tendencies to 'rule-gaming' and 'by-standing'
- Techniques for firms to develop their "Conduct conversation", to better detect early risk signals
- Four new primary indicators (MI) for 'healthy culture'; new approaches to sourcing human-risk data

Participants

Roger Miles - Independent Expert, Independent

Achieving a unified approach to ABC & AML – Culture, Governance & Processes

11:00 - 11:45

- What are the benefits of a joined-up approach?
- What does good process & governance look like?
- How do you foster a culture that thinks of financial crime holistically?

Participants

Tom Littlechild - EMEA Senior Counsel for AML, Sanctions and ABC (Financial Crime), Wells Fargo

Willem Wellinghoff - Chief Legal & Compliance Officer, ShieldPay

Kenneth Gazzaway - Director, EMEA Regional Head of Anti-Bribery & Corruption Compliance, MUFG Bank

Avoidance or Evasion? – Tax in the context of Financial Crime

11:45 - 12:15

- Where do we currently stand legally?
 - Failure-to-prevent offences and suitable compliance frameworks - what works?
 - Grey-zones - when does avoidance become evasion?
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Networking Break & Lunch

12:15 - 13:15

OFAC Update

13:15 - 14:00

- Updates to notable/major U.S. sanctions programs
- OFAC compliance considerations for non-US financial institutions
- Update on recent civil penalty cases

Participants

Daniel Cariello - Senior Compliance Officer, OFAC

Sanctions Hotspots – Post-Brexit & New US Developments

14:00 - 14:45

- Brexit - where are we now?
- The Biden presidency - what are the initial signs
- Enforcement views

Participants

Chloe Cina - Director, Global Sanctions & Embargoes, Deutsche Bank

Ciaran Askin - Head of Financial Crime & MLRO, Invesco

Richard Dunmall - Head of Sanctions, Sumitomo Mitsui Banking Corporation Europe

Christian Rijs - UK & Ireland Head of Anti-Financial Crime, DWS

FinCrime & Fintechs

14:45 - 15:30

Participants

Kriti Jain - Global Head of AML & Financial Crime Compliance, Assembly Payments

Rebecca Marriott - VP, Risk & Compliance, MLRO, Tide

Chair's Closing Remarks & End of Day 1

15:30 - 15:45

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13:00	13:15 - OFAC Update
14:00	14:00 - Sanctions Hotspots – Post-Brexit & New US Developments 14:45 - FinCrime & Fintechs
15:00	15:30 - Chair's Closing Remarks & End of Day 1

SESSIONS

DAY 2 - AML - 23/03/2021

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Registration & Networking

09:00 - 10:00

Chair's Opening Remarks

10:00 - 10:15

FinCen Files – A view from the investigators

10:15 - 11:00

- What do the FinCEN files mean for Financial Institutions
- The context for banks relating to how they were generated
- SARs and resources - investigation versus intelligence
- SAR reforms - where next?
- What else was leaked and why is it important (Estonian police files)

Participants

Graham Barrow - Anti-Financial Crime Consultant, The Dark Money Files Ltd

Tom Warren - Investigative Reporter, BuzzFeed

The Industry Reaction – What lessons can be learnt from leaks?

11:00 - 11:45

- What does this mean from a reputational risk standpoint?
- What are the practical implications?
- What effect has this had on the industry?

Participants

Sinead Goss - EMEA Head, AML, Anti-Bribery and Sanctions Legal, Citigroup

EBA Update

11:45 - 12:15

Participants

Endija Springe - AML/ CFT Policy Expert, European Banking Authority

Lunch & Networking Break

12:15 - 13:15

Brexit – Understanding the impact on AML efforts

13:15 - 14:00

- Regulatory divergence - practical considerations
- Compliance challenges post-Brexit - Data-sharing and multinational headaches
- What does a good set-up look like?

Participants

Jonathan Stone - EMEA, Head of Financial Crime, Nomura

Finding the Beneficial Owner – Getting your Due Diligence Right

14:00 - 14:45

- Dealing with complex corporate structures
- Enhanced due diligence best practice
- Managing high-risk jurisdictions & transactions

Participants

Dominic Fielding - Chief Risk Officer & MLRO, Handelsbanken Wealth & Asset Management

Ted Datta - Director, Compliance Solutions, Bureau van Dijk, a Moody's Analytics company

Networking Break

14:45 - 15:15

Covid-19 Impact on Financial Crime

15:15 - 16:00

- Understanding the new types of financial crime
- How do you combat the new financial crimes?
- Future trends post-Covid 19

Participants

Rod Morris - Head of Financial Crime & MLRO, Al Rayan Bank

Francisco Mainez - Head of Business Financial Crime Risk, Data & Analytics, HSBC

Ian Mason - Partner, Head of UK Financial Services Regulation and Co-Head of UK Financial Services Sector, Gowling WLG

The Professor: Hiding in Plain Sight

16:00 - 16:45

- Money Laundering and the Facilitator
- The Venezuelan Backdrop
- Red Flags/Predication
- The case against Professor Bruce Bagley, with evidence examined
- The Press Reaction

Participants

Christopher Delzotto - Supervisory Special Agent, Federal Bureau of Investigation

Chair's Closing Remarks & End of Day 2

16:45 - 17:00

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12:00	12:15 - Lunch & Networking Break
13:00	13:15 - Brexit – Understanding the impact on AML efforts
14:00	14:00 - Finding the Beneficial Owner – Getting your Due Diligence Right 14:45 - Networking Break
15:00	15:15 - Covid-19 Impact on Financial Crime
16:00	16:00 - The Professor: Hiding in Plain Sight 16:45 - Chair's Closing Remarks & End of Day 2

SESSIONS

DAY 3 - ABC - 24/03/2021

AML & ABC Forum

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Virtual Conference

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Morning Registration & Networking

09:00 - 10:00

Chair's Opening Remarks

10:00 - 10:15

Keynote session: FCA Update

10:15 - 11:00

Participants

Mark Steward - Executive Director of Enforcement and Market Oversight, FCA

Industry Outlook: ABC Trends and Developments from Across the Pond and Beyond

11:00 - 11:30

- The advancing globalisation of enforcement and increase cooperation between regulators
 - Lessons learnt from recent cases, e.g. Barclays and 1MDB
 - Lessons learnt in preparation for Brexit
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Panel: Risky Business - Where do the challenges lie for multinational Financial Services firms in implementing entity-wide ABC programs?

11:30 - 12:15

- The multi-jurisdictional reach of the Foreign Corrupt Practices Act and UK Bribery Act means that financial services firms need to be vigilant to risks both locally and abroad.
- When implementing an ABC framework initially at your base HQ, how do you make sure it is correctly implemented across borders in light of fragmentation of regulation?
- The contrast and risks of working with cash societies and jurisdictions that lack of sophisticated payment systems

Participants

Mina Feizollahbeigi - Head of Anti-Bribery and Corruption, Marsh & McLennan Companies

Corinna McClune - EMEA Sanctions, AML and Anti-Bribery Counsel, Citi

Paul Simmons - Global Head of Financial Crime Prevention & MLRO, GAM Investments

Cowina Leung - Head of AML & ABC, APAC, T Rowe Price

Networking Break & Lunch

12:15 - 13:15

Panel: Compliant vs Complacent: Assessing Financial Services ABC Risk in Times of Uncertainty

13:15 - 14:00

- What does a gift and entertainment look like in a virtual space and what novel risks do they present?
- With businesses adapting their supply chains we're seeing fundamental changes to KYC and ABC risks increased - how resilient have ABC frameworks been?
- Is working from home conducive to a culture of complacency? How do you ensure controls aren't circumvented and how should surveillance be tweaked?

Participants

Ann Doan - Head of Legal and Compliance, The Norinchukin Bank, London Branch

David Marshall - Associate Director, UK Compliance, NIBC Bank NV, London

Simon McFeely - Head of Risk and Compliance, Transfermate

Ana Joli - VP ABAC/ACFTE Programs, Elavon

Uncharted Waters – Conducting Effective Internal Investigations in the Era of Remote Working

14:00 - 14:40

- Practical tips on adapting to the shift in working arrangements in spotting corrupt practices and carrying out internal investigations
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Networking Break

14:40 - 15:10

Panel: Collaboration, Data and Behaviour – Constructive steps to building a culture of compliance

15:10 - 15:45

- What internal and/or external collaboration should look like to motivate a unified culture of compliance
 - Key data metrics to inform your monitoring processes and enhance your approach to compliance culture
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Safe Environments: Does the Narrative Need to Change with regards to how the Financial Services Industry Responds to Whistleblowers? And How do We Make that Happen? ·

15:45 - 16:20

- Ensuring internal whistleblowing processes/ programs continue to function effectively in light of new and differing working arrangements
 - Where is UK whistleblowing legislation headed in light of the UK All Party Parliamentary Group ("APPG") review?
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Chair's Closing Remarks

16:20 - 16:30

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10:00	10:00 - Chair's Opening Remarks 10:15 - Keynote session: FCA Update
11:00	11:00 - Industry Outlook: ABC Trends and Developments from Across the Pond and Beyond 11:30 - Panel: Risky Business - Where do the challenges lie for multinational Financial Services firms in implementing entity-wide ABC programs?
12:00	12:15 - Networking Break & Lunch
13:00	13:15 - Panel: Compliant vs Complacent: Assessing Financial Services ABC Risk in Times of Uncertainty
14:00	14:00 - Uncharted Waters – Conducting Effective Internal Investigations in the Era of Remote Working 14:40 - Networking Break
15:00	15:10 - Panel: Collaboration, Data and Behaviour – Constructive steps to building a culture of compliance 15:45 - Safe Environments: Does the Narrative Need to Change with regards to how the Financial Services Industry Responds to Whistleblowers? And How do We Make that Happen? ·
16:00	16:20 - Chair's Closing Remarks