

## NATIONAL REGISTRY OF CPE SPONSORS

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### 1. MATCH FIXING IN PROFESSIONAL SPORTS: THE THREAT TO AMERICA

Professionals who work to detect and prevent financial crime know all too well that it's a risky world out there.

Threats are multiplying – from professional money launderers to cybercriminals, lone wolves to corrupt heads of state. Crises and scandals have gone global in scale. New technologies are supporting compliance and enforcement responses, while empowering criminals.

At times, combating financial crime can feel like trying to play a game of chess as the rules change constantly, and some of the pieces move of their own accord.

To stay a step ahead, financial crime professionals are asked to be both protectors and innovators, able to:

#### PARTICIPANTS WILL:

- Think on their feet, to counter new threats rapidly
  - **See the global picture**, to understand how international trends inform practical responses
  - **Tie it all together**, to converge skills, best practices and data across fields and departments
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Participants will earn 1.0 CPE credits

**Field of Study:** Specialized Knowledge

#### ADDITIONAL INFORMATION:

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**Advanced Preparation:** None

**Program Level:** Intermediate

**Delivery Method:** Group Live

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## 2. LAW ENFORCEMENT INSIGHTS ON EMERGING TRENDS AND TECHNOLOGIES

Detecting and preventing financial crime requires a fulsome picture from all angles. Professionals need a 360 degree view into the world of those on the front lines of criminal trends and threat patterns including critical insights from law enforcement on the front lines.

Join our expert panel law enforcement panel as they offer an “up close and personal perspective” on the current and most troubling trends in money laundering, fraud, and corruption. The discussion will most certainly touch on those trends that may not be apparent to the private sector and provide a look ahead, and advance warning of what’s coming next.

### PARTICIPANTS WILL:

- Gain critical insights from law enforcement on the front line
- Receive guidance on how to maximize the value of suspicious activity reporting and information-sharing for law enforcement
- Learn about the most troubling trends in money laundering, fraud and corruption.

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### 3. BENEFICIAL OWNERSHIP, BANKER, BROKER INTELLIGENCE

It's human nature to want to understand exactly just who we are doing business with, regardless of external rules and requirements. This is amplified, in that, we do live in an increasingly dangerous world that has required government rules and requirements to evolve and adjust as a result.

Critical to staying ahead of due diligence, true beneficial ownership of an entity needs to be at the forefront of every risk based entity vetting and account opening/contract initiation process. And this goes far beyond internet searches. There are key questions to be asked - Who really owns this entity, what are they doing, how are they doing it and does it all make sense?

#### PARTICIPANTS WILL:

- Get updates and insights on major new regulatory changes related to beneficial ownership
- Receive lessons on how the securities industry and intelligence field address the issue of beneficial owner identification and verification
- Learn tools, techniques and approaches to conducting due diligence and investigations into beneficial owners

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### 4. TRENDS AND RESPONSES TO EMERGING FRAUD THREATS

In the wide world of fraud, everything old is new again. Classic con-man skills are repurposed on social media to reach a wider audience, identity thieves continually adapt to countermeasures, and perennial techniques like Ponzi schemes have been revamped to exploit new technologies and payment systems like virtual currencies. This leaves professionals with an ever-expanding network of fraud threats to confront. In this session, experts explore new fraud methodologies – and new twists on old ones – impacting diverse sectors, including securities, banking, government and more.

#### PARTICIPANTS WILL:

- Get insights on fraud trends and recent issues from the perspective of various financial industry professionals, including banks, securities and MSBs
  - Learn fraud detection and prevention approaches, including new monitoring tools and other techniques
  - Learn law enforcement priorities and approaches in the fraud field
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### 5. NEW YORK DFS RULE 504 AML PROGRAM CERTIFICATION-ARE YOU READY? IS THIS THE NEW NORMAL?

In this era of increasing personal risk for Compliance officers, it is more critical than ever to ensure that your 504 Certification is based on a sound and thorough substantive foundation. This practical panel will provide sound advice on how to prepare to meet the new Compliance Certification requirement issued by New York's Department of Financial Services. Panelists will review the functional requirements of the rule, which address AML transaction monitoring and sanctions screening, and will provide a detailed framework for Compliance project planning toward implementation.

#### PARTICIPANTS WILL:

- Learn what's new and what's not in Rule 504's compliance mandates
  - Understand what the rule requires in sanctions screening, transaction monitoring and data collection and validation
  - Get guidance on how Rule 504 is likely to serve as a model for other state and even federal regulators
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### 6. MEET THE PRESS: JOURNALISTS AS INFLUENCERS IN THE FINANCIAL CRIME AREA

In recent years, seismic scandals like the Panama Papers disclosures and the FIFA corruption case have demonstrated the importance of investigative journalists in the financial crime field. Never before have journalists demonstrated their ability to collaborate in groups such as the International Consortium of Investigative Journalists (ICIJ), to network with whistleblowers and groups such as WikiLeaks, to focus public attention on financial crime issues and to effect government and regulatory change.

From reporters on headline-grabbing cases to those digging into corruption and other criminal activity on a smaller scale, journalists are key stakeholders in the financial crime detection and prevention community. In this session, meet a few of those hard working journalists who have worked “in the trenches” to break the stories that need to matter to all financial crime professionals.

#### PARTICIPANTS WILL:

- Gain advance notice of the financial crime stories and headlines that are likely to be on the horizon in coming months
  - Learn investigative techniques and tools of the trade used by journalists that overlap with the work being done by financial crime professionals
  - Understand the key role that journalists and reporters play in shaping the conversation on financial crime
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### 7. WHAT'S NEXT FOR FINTECH

Fintech has produced a flurry of innovation in recent months, from new payment platforms to robo-advisers, coloured coins to smart contracts and more. While these applications have the potential to deliver financial services faster and more securely, they come with their own financial crime and compliance challenges. Running parallel, some in the fintech sector are also working on tools that could potentially reshape key compliance processes, is always a daunting task. What's on offer presently and what does the future of fintech to mean for financial crime professionals?

#### PARTICIPANTS WILL:

- Learn how fintech applications carry both risks and benefits for financial crime detection and prevention.
- Gain knowledge on innovative new compliance tools, including AI applications in monitoring for suspicious activity
- Understand how regulators are approaching the world of fintech and opportunities for collaboration

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### 8. TRANSACTION MONITORING: THE NEXT FRONTIER

This panel of industry thought leaders will explore the opportunities and challenges of “Interaction Monitoring”. Panelists will provide a fascinating description of “non-transactional” interactions that can be incorporated into a best-in-class monitoring program.

**Questions like:** “How can ATM balance inquiries, mobile account balance views from multiple devices, and phone bank calls, support and enrich your AML and CFT monitoring program?” Also, “Is it possible to use customer interaction data (geolocation and device ID) to provide linkages to seemingly unrelated transactions in order to detect financial crime?”

All excellent questions looking for answers during this robust panel discussion.

#### PARTICIPANTS WILL:

- Learn how to move beyond transactional monitoring to get a fuller picture of customer activity and risk
- Understand the full range of data sources available to institutions that can support customer surveillance and monitoring
- Gain knowledge on how to leverage customer’s use of products and services, like mobile services, for financial crime compliance

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### 9. REGULATORY REPORT

In a rapidly changing financial crime risk and regulatory landscape, getting guidance directly from regulators is essential to stay a step ahead of compliance challenges. This “deep dive” panel will provide an opportunity for leading agency representatives to give attendees insights on new regulatory changes, enforcement trends and areas of key concern for regulators. Also an interactive session, the panel promises to allow ample Q&A time for attendees to get answers to their most pressing questions.

#### PARTICIPANTS WILL:

- Learn enforcement priorities and key initiatives related to the banking sector from representatives of the OCC and Federal Reserve
  - Learn enforcement priorities and key initiatives for the securities industry from representatives of FINRA
  - Gain knowledge on what regulators are seeing as key criminal threats and trends affecting financial institutions
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### 10. CYBERCRIME AND CYBERSECURITY: A CRITICAL UPDATE

Join us as the field's preeminent experts describe life in the cybercrime and cyber security trenches today, emerging trends and related legal and compliance challenges in this fast paced and ever-changing vertical. A highly qualified panel has been convened to discuss all of the hot buttons today; State-sponsored attacks, ransomware, cybercrime risk assessments, and regulatory requirements. A must attend session for financial crime professionals.

#### PARTICIPANTS WILL:

- Learn new trends in cybercrime and understand the latest threats facing financial institutions, government agencies and the private sector
  - Get guidance on how the human factor is one of the top cyber risks, and how to address it
  - Learn how to better coordinate internal units and departments to bolster cybersecurity
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### 11. FINANCIAL CRIME QUANTITATIVE ANALYSIS, MODEL RISK VALIDATION AND TURNING YOUR TRANSACTION MONITORING SYSTEM

In this era of “Big Data”, a sophisticated quantitative approach to financial crime prevention and detection is essential. Expert panelists will explain how best to ensure that your monitoring programs make optimal use of available data and information. Speakers will also provide advice on how best to comply with regulatory requirements and expectations to validate your risk models and ensure that your automated monitoring systems are capturing the appropriate data and providing actionable investigative alerts with a minimum of “false positives.”

#### PARTICIPANTS WILL:

- Learn the latest regulatory expectations and guidance on model risk validation
  - Gain knowledge on how to identify and manage the many different types of data sources for transaction monitoring systems
  - Learn techniques to tune monitoring systems to maximize the quality of alerts
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### 12. FINANCIAL CRIME- A VIEW FROM FINCEN

This session will provide updates on the initiatives, enforcement actions and areas of regulatory focus of the Financial Crimes Enforcement Network, one of the leading US federal regulatory agencies with financial crime oversight. Thomas Ott, FinCEN's Associate Director of Enforcement, will present.

#### PARTICIPANTS WILL:

- Gain insights on FinCEN's views related to enforcement trends and individual liability for compliance roles
  - Learn what the agency is seeing in terms of broad industry vulnerabilities, failures and areas of improvement.
  - Get information on the agency's current and upcoming regulatory priorities, including beneficial ownership rules
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### 13. BREAKOUT 1: FINANCIAL CRIME- THE NEW REALITY

Financial crime professionals know far too well that the regulatory, enforcement and compliance landscapes are shifting rapidly. We are now facing financial crime threats where borders no longer exist, and more complex and more coordinated global threats by professional criminals, criminal organizations and state sponsored hackers than ever in our history. This session describes this new reality of financial crime risk, and explores how a converged approach can help confront it.

#### PARTICIPANTS WILL:

- Gain a better understanding of financial crime threats across all fields
  - Learn how threat actors are increasingly coordinating, sharing skills and overlapping their operations
  - Receive guidance on how to build converged financial crime compliance and investigative programs to counter new threats
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## 14. BREAKOUT 2: RESPONDING TO CORRUPTION RISKS IN THE FINANCIAL SECTOR – ASSESSING THREATS AND CONDUCTING INVESTIGATIONS

2016 was a record-setting year for anti-corruption penalties and enforcement actions in the US. With several large financial services firms ensnared in anti-bribery cases, and greater international cooperation on enforcement, it's clear that corruption threats are still a rising risk for financial institutions. In this session, experts take on anti-corruption from two perspectives – first, outlining major trends and risk areas in the field, like the globalization of FCPA enforcement, and then providing guidance on best practices on how to investigate and remediate should corruption and bribery issues come to light within an institution.

### PARTICIPANTS WILL:

- Gather knowledge on focus areas for FCPA enforcement and key areas of corruption risk
  - Get insights on how anti-corruption enforcement has become global in scope, and what this means for anti-corruption and bribery programs.
  - Learn best practices on how to investigate and remediate corruption and bribery issues
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Participants will earn 1.0 CPE credits

**Field of Study:** Specialized Knowledge

### ADDITIONAL INFORMATION:

**Who Should Attend:** Professionals who work to detect and prevent financial crime. It's a gathering place for the subject matter experts, thought leaders and seasoned professionals in all fields fighting financial crime – compliance, law enforcement, regulatory and civil society. Others are welcome.

**Advanced Preparation:** None

**Program Level:** Intermediate

**Delivery Method:** Group Live

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### 15. BREAKOUT 3: ORGANIZED RETAIL CRIME

Organized Retail Crime (ORC) is shoplifting on a massive scale led by organized criminal rings run like Fortune 500 companies. Highly sophisticated networks steal and resell everything from high-end electronics to milk, to the tune of \$37 billion in annual losses for retail businesses. The thieves or “boosters” move the loot for cents on the dollar to fencing operations — the black market resellers of the stolen goods — which, in turn, sell the stolen merchandise in plain sight in stores or online venues. And so, the cycle continues.

In this session, we'll learn how these organizations are run, key intersections with other financial crimes, how technology is used to take down these operations, and how they are key facilitators to the opioid epidemic crippling the communities across the nation.

#### PARTICIPANTS WILL:

- Get an inside look at how organized retail crime gangs operate and their connection to the US
- Understand how retail crime connects to other forms of financial crime, like money laundering and cyber fraud
- Gain knowledge that can help financial institutions detect activity related to organized retail crime

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## 16. BREAKOUT 4: AUDIT- THE ROLE OF AUDIT IN FINANCIAL CRIME IN THE CONVERGENCE ERA

The only way forward when approaching an audit is with a 360 view in this fast paced and often chaotic world. Actively looking for the risk of material misstatement is only possible when the auditor is well informed and well armed! Furthermore, fully understanding the audited entity's business as well as the marketplace is often the price of entry.

### PARTICIPANTS WILL:

- Gain knowledge on approaches for auditing and supporting a converged approach to financial crime compliance
  - Understand the role that audit plays in fostering a culture of compliance
  - Learn how a deeper understanding of the full range of financial crime risks can boost the effectiveness of audits
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### 17. BREAKOUT 3: LONE-WOLF AND SMALL-SCALE TERROR ATTACKS – DETECTING AND DISRUPTING AN EVOLVING TERRORIST FINANCING RISK

How are lone wolves affecting how we detect and fight terrorist financing today? Even as ISIS loses territory and suffers military defeats, mainstay terrorist organizations continue to focus their efforts on cultivating and supporting individuals and small groups in “lone-wolf” terror attacks. With radicalization possible through social media and online communications, ISIS is not the only extremist group to adopt such tactics.

#### PARTICIPANTS WILL:

- Examine the financing of individuals and small cell attack providing insight on the funding patterns and techniques connected to lone wolf attacks.
  - Explore the very real challenges associated with detecting these types of attacks
  - Gain insights on areas of improvement in investigating small-scale terrorism for both the financial and law enforcement sector
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**Advanced Preparation:** None

**Program Level:** Intermediate Delivery

**Method:** Group Live

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### 18. BREAKOUT 4: TRENDS IN TRANSPARENCY AND ENFORCEMENT

Our expert panel will consider the trends of tax transparency, including automatic exchange of information, entity transparency, and exchange of beneficial ownership information. They'll also discuss prosecutions of enablers, due diligence standards for financial institutions and gatekeepers, and the interplay between tax transparency, anti-money laundering, and anti-corruption initiatives. Join this session for a lively exchange on this ever-evolving topic.

#### PARTICIPANTS WILL:

- Learn how developments in the tax enforcement and compliance field have increased transparency and eroded secrecy havens
  - Gain knowledge on the ties between due diligence standards for financial institutions and efforts to combat tax evasion
  - Learn how the tax transparency and enforcement fields intersect with other areas of financial crime, including AML and anti-corruption
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### 19. BREAKOUT 1: COMPLIANCE CAREERS – AN INSIDER’S VIEW ON WHAT’S ON OFFER

Law schools and universities are increasingly adding Compliance courses to their academic curriculum, in recognition of the elevated importance of compliance expertise as a critical skill for employment and promotion. Panelists from academic programs will describe various Compliance offerings in JD and LLM programs, as well Compliance master’s degrees and certification programs for non-lawyers. This panel is a “must-attend” for junior and mid-level career-oriented compliance professionals.

#### PARTICIPANTS WILL:

- Learn how universities are playing a role in shaping a new generation of compliance professionals
  - Gain a better understanding of various compliance offerings in JD and LLM programs
  - Understand trends and areas of opportunity in financial crime careers
- 

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### 20. BREAKOUT 3: WHAT'S KEEPING YOU UP AT NIGHT?

The financial services industry is currently in the midst of a massive, disruptive digitalization wave. Mobile devices have become ubiquitous and tech-innovation and artificial intelligence (AI) appear to be at the core of this transformation. The new generation of millennial customers are already demanding enhanced, value-added services and enriched experiences on demand and in the delivery channel of their choice. Often, Boards and compliance officers just don't know what they don't know due to the rapidly changing landscape of the new consumer.

#### PARTICIPANTS WILL:

- Gain valuable insights into the current issues that are top of mind for compliance professionals.
  - Learn how changing customer demands are creating challenges and opportunities for compliance programs
  - Hear how compliance professionals are preparing for new technological developments in financial services
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### 21. BREAKOUT 4: SANCTIONS COMPLIANCE – RISKS AND BEST PRACTICES IN A FAST-CHANGING WORLD

Compliance professionals in global financial and non-financial organizations face an increasingly complex and quickly-changing sanctions landscape. With record-shattering penalties for sanctions program violations, changes in governments, and greater scrutiny from regulators and enforcement agencies in the United States and European Union, how can organizations equip themselves to anticipate, adapt, and achieve effective compliance?

#### PARTICIPANTS WILL:

- Receive guidance on recommendations for effective sanctions compliance programs
- Gain knowledge on changes to sanctions on North Korea, Iran, Russia and more
- Learn expectations and best practices from OFAC and other regulatory agencies

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