

The background of the top half of the page is a dynamic, abstract composition of various shades of green. It consists of numerous rectangular and square shapes of different sizes, some overlapping, creating a sense of depth and movement. The shapes appear to be receding into the distance, forming a perspective that draws the eye towards the right side of the page.

AML 2017

**ANTI-MONEY LAUNDERING
& FINANCIAL CRIMES
CONFERENCE**

FEBRUARY 8-9, 2017

GRAND HYATT, NEW YORK CITY

POCKET GUIDE



SIFMA is the voice of the U.S. securities industry. We represent the broker-dealers, banks and asset managers whose nearly 1 million employees provide access to the capital markets, raising over \$2.5 trillion for businesses and municipalities in the U.S., serving clients with over \$20 trillion in assets and managing more than \$67 trillion in assets for individual and institutional clients including mutual funds and retirement plans. SIFMA, with offices in New York and Washington, D.C., is the U.S. regional member of the Global Financial Markets Association (GFMA).

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SCHEDULE AT-A-GLANCE

WEDNESDAY, FEBRUARY 8

7:30am - 5:30pm Empire Ballroom Foyer

Registration Desk Hours

7:30am - 8:30am Empire Ballroom Foyer

Continental Breakfast

Sponsored by Safe Banking Systems, LLC

8:30am - 8:40am Empire Ballrooms II & III

Welcome Remarks

8:40am - 9:10am Empire Ballrooms II & III

Fireside Chat with FinCEN's Deputy Director

Moderator:

Michelle L. Neufeld

Executive Vice President, Chief BSA/AML Officer
Banc of California

Jamal El-Hindi

Deputy Director
Financial Crimes Enforcement Network (FinCEN), U.S.
Department of the Treasury

9:10am - 10:25am Empire Ballrooms II & III

AML in 2017: The Regulatory Perspective

10:25am - 11:00am Empire Ballroom Foyer

Networking Break

Sponsored by CYPHER Compliance

11:00am - 12:15pm Empire Ballrooms II & III

Hot Topics: The Industry's Perspective

12:15pm - 1:15pm Empire Ballrooms IV & V

Networking Lunch

Sponsored by Davis Polk & Wardwell LLP

1:15pm - 2:30pm Empire Ballrooms II & III

Breakout Session 1A: Trading Surveillance and Typologies

1:15pm - 2:30pm Empire Ballroom I

Breakout Session 1B: Sanctions Considerations for the Securities Industry

SCHEDULE AT-A-GLANCE

2:30pm - 3:00pm Empire Ballroom Foyer

Networking Break

Sponsored by ACA Compliance Group

3:00pm - 4:15pm Empire Ballrooms II & III

Breakout Session 2A: Surveillance: Testing, Validation and Certification

3:00pm - 4:15pm Empire Ballroom I

Breakout Session 2B: Anti-Corruption Compliance: Focus on Intermediary Risks

3:00pm - 4:15pm Carnegie - Alvin

Partner Workshop 2C: Thoughts for Your Pennies: OTC Markets, Legal/Regulatory Developments, and Microcap Risk Mitigation

Sponsored by OTC Markets

4:15pm - 5:30pm Empire Ballroom Foyer

Networking Reception

THURSDAY, FEBRUARY 9

7:30am - 4:30pm Empire Ballroom Foyer

Registration Desk Hours

7:30am - 8:30am Empire Ballroom Foyer

Continental Breakfast

Sponsored by Debevoise & Plimpton LLP

8:30am - 9:00am Empire Ballrooms II & III

Keynote Address

Susan F. Axelrod

Executive Vice President, Regulatory Operations
FINRA

9:00am - 10:00am Empire Ballrooms II & III

Crisis Management and Reactions to Breaking Events

10:00am - 10:30am Empire Ballroom Foyer

Networking Break

SCHEDULE AT-A-GLANCE

10:30am - 11:45am

Empire Ballroom I

Breakout Session 3A: Effective Relationships with Internal Partners

10:30am - 11:45am

Empire Ballrooms II & III

Breakout Session 3B: AML Across Securities Business Lines

11:45am - 1:15pm

Empire Ballrooms IV & V

Luncheon and Keynote Address

Daniel Glaser

Former Assistant Secretary for Terrorist Financing
U.S. Department of the Treasury

1:15pm - 2:30pm

Empire Ballrooms II & III

CDD: Implementation Efforts and Interpretive Challenges

2:30pm - 3:00pm

Empire Ballroom Foyer

Networking Break

Sponsored by Kroll

3:00pm - 4:15pm

Empire Ballrooms II & III

Enforcement: Lessons Learned

4:15pm - 4:45pm

Empire Ballrooms II & III

Closing Keynote Address

Stephanie Avakian

Acting Director, Division of Enforcement
U.S. Securities and Exchange Commission

4:45pm

Conference Concludes

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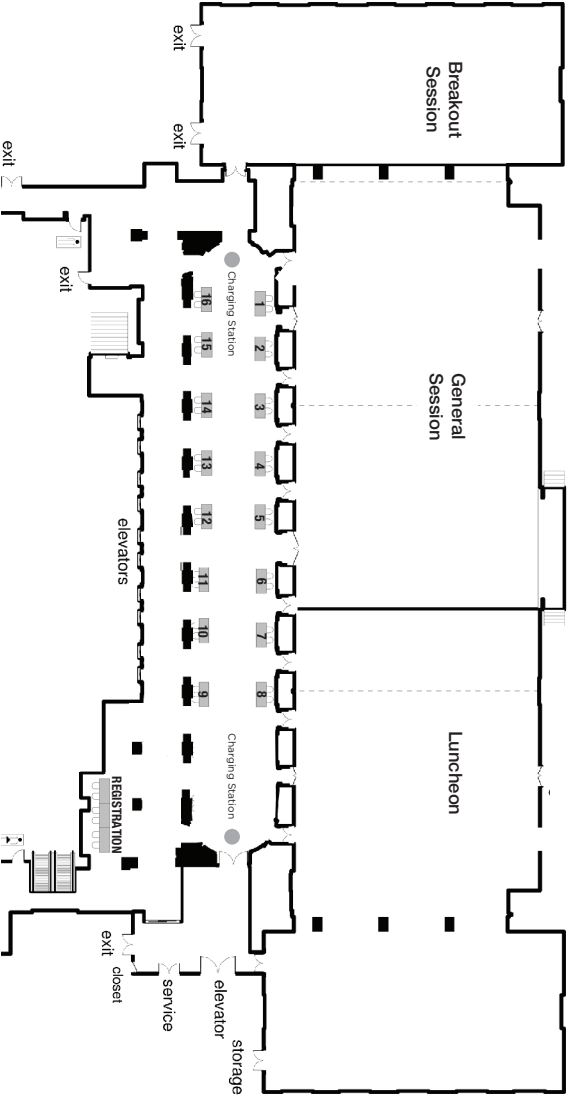


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