

FIBA 2010 AML CONFERENCE AGENDA

www.antimoneylaundering-fiba.com

DAY ONE - Thursday, February 18, 2010

	DAY ONE - Thursday, February 18, 2010		
7:00 AM 6:30 PM	Registration Open - Sponsored by Daylight Forensic & Advisory LLC	Mezzanine	
7:00 AM 8:05 AM	Continental Breakfast <i>Sponsored by DATAPRO INC / GLOBAL OUTSOURCE SERVICES LLC</i>	Exhibit Area	
8:05 AM 8:30 AM	<p>Welcome to the 2010 FIBA AML Conference: Opening Remarks (Con traducción)</p>	<ul style="list-style-type: none"> • John Rodriguez, Sr. Vice President & Area Head, Wells Fargo Bank, and President FIBA • Clemente Vazquez-Bello, Esq., Partner, Gunster Yoakley, and Chairman, FIBA AML Conference • R. Alexander Acosta, Dean, FIU School of Law, and honorary member FIBA AML Conference Advisory Committee 	Grand Ballroom Mezzanine Level
8:30 AM 10:00 AM	<p><i>General Session</i></p> <p>What's New on the AML Landscape (Con traducción)</p>	<ul style="list-style-type: none"> • Moderator: Clemente Vazquez-Bello, Esq., Partner, Gunster Yoakley, and Chairman, FIBA AML Conference • William D. Langford, Jr., Senior VP, Director of Global Anti-Money Laundering, JPMorgan Chase & Co. • William J. Fox, Senior VP; Global AML and Economic Sanctions Executive, Bank of America • Nina Nichols, Special Counsel & Manager, Enforcement Section, Div. of Banking Supervision & Regulation, Federal Reserve Board • John Wagner, Director, BSA/AML Compliance, OCC • Lester M. Joseph, Principal Deputy Chief, Div. of Supervision & Consumer Protection, US Dept of Justice • Jamal el Hindi, Associate Director, FinCEN 	Grand Ballroom Mezzanine Level
	<p>Learning objective: This panel will help you plan and allocate your resources for 2010. With updates from bankers, regulators and law enforcement, you will not want to miss hearing what you need to be alert for, and discover how you may need to fine tune your internal controls to meet future regulatory expectations and avoid entanglements with law enforcement.</p>		
10:00 AM 10:30 AM	Coffee Break in the Exhibit Area	Exhibit Area	
10:30 AM 11:45 AM	<p><i>General Session</i></p> <p>The Convergence of Financial Fraud and AML (Con traducción)</p>	<ul style="list-style-type: none"> • Moderator: William D. Langford, Jr., Senior VP, Director of Global Anti-Money Laundering, JPMorgan Chase & Co. • Lourdes Gonzalez, Assistant Chief Counsel-Sales Practices, Div. of Trading & Markets, SEC • Lisa D. Arquette, Associate Director, Div. of Supervision & Consumer Protection, FDIC • Michael Diaz, Jr., Managing Partner, Diaz Reus, & Targ LLP • Darren J. Donovan, National Forensic Banking & Finance Industry Leader-Forensic Services, KPMG LLP 	Grand Ballroom Mezzanine Level
	<p>Learning objective: One of the most significant developments in 2009 was the discovery of massive frauds in the billions of dollars. Banks can play an important role in early detection of fraud by using their existing AML systems and improving both IT and internal communications. This panel will show you what banks can do and what regulators will increasingly expect them to do.</p>		

<p>11:45 AM 12:30 PM</p>	<p align="center">Coffee Break in the Exhibit Area and Informative Session</p> <p align="center">Coffee Break Sponsored by: Bankersalmanac.com "Cutting the Cost of Compliance" Speaker: Gianluca de Genarro, Vice President, Bankersalmanac.com</p>		<p align="center">Exhibit Area Theater</p>
<p>12:30 PM 1:30 PM</p>	<p align="center">Luncheon and Keynote Speaker</p> <p align="center">James H. Freis, Jr. Director Financial Crimes Enforcement Network (FinCEN) U.S. Department of the Treasury</p> <p align="center">Luncheon Sponsored by: WorldCompliance, Inc. (Con traducción)</p>		<p align="center">Grand Ballroom <i>Mezzanine Level</i></p>
<p>1:30 PM 2:00 PM</p>	<p align="center">Dessert and Coffee in the Exhibit Area</p> <p align="center"><i>Sponsored by Avila Rodriguez Hernandez Mena & Ferri LLP</i></p>		<p align="center">Exhibit Area</p>
<p>2:00 PM 3:00 PM</p>	<p align="center">FIVE (5) BREAKOUT SESSIONS</p>		
<p>2:00 PM 3:00 PM</p>	<p><i>Breakout 1 A</i></p> <p>SARs, Legal Issues and Update, including outsourcing of SAR preparation</p> <p>(Con traducción)</p>	<ul style="list-style-type: none"> Moderator: Clemente Vazquez-Bello, Esq., Partner, Gunster Yoakley, and Chairman, FIBA AML Conference Joshua Kaptur, Regulatory Policy Project Officer, FinCEN Pamela Johnson, Managing Director and Global Head of Anti-Money Laundering & Sanctions Compliance, Citigroup Kathryn Hinton, Assistant VP, Federal Reserve Bank of Atlanta 	<p align="center">Versailles Ballroom <i>Mezzanine Level</i></p>
<p>Learning objective: <i>Identifying suspicious activity is at the core of banks' responsibilities to FinCEN and financial regulators. This panel will help banks understand the limitations of SAR sharing and the challenges this creates for global financial players. You will also learn how to leverage your existing resources and what responsibilities you have when you outsource to a third party or a foreign country.</i></p>			
	<p><i>Breakout 1B</i></p> <p>Trade Finance and AML Risks/Global Correspondent Relationships as part of Trade Finance</p> <p>(Con traducción)</p>	<ul style="list-style-type: none"> Moderator: P.K. Prakash, Senior VP, Int'l Compliance & Risk Management Group, Wells Fargo Bank N.A. Timothy Sauer, Criminal Research Specialist, ICE - Trade Transparency Unit Timothy P. Leary, Senior Special Anti-Money Laundering Examiner, Federal Reserve Board Lisa M. Grigg, Senior VP & Money Laundering Risk Executive for the America's, Bank of America 	<p align="center">Trade Room <i>Lobby level</i></p>
<p>Learning objective: <i>Trade finance is the engine that drives the U.S. economy. This panel will talk about real money laundering case studies, and what you can do as a financial institution to mitigate the risk and do this business. You will also understand regulatory expectations in international trade finance.</i></p>			
	<p><i>Breakout 1C</i></p> <p>International Wealth Management – AML Compliance and Business Issues for Broker Dealers and Private Bankers</p> <p>Part I of II</p> <p>(Con traducción)</p>	<ul style="list-style-type: none"> Moderator: Sergio Alvarez Mena, III, Executive Director, Morgan Stanley Smith Barney Lourdes Gonzalez, Assistant Chief Counsel-Sales Practices, Div. of Trading & Markets, SEC Stephen Strombelline, Managing Director, BNP Paribas Jeff Horowitz, Managing Director, Chief AML and OFAC Officer, Pershing LLC Yvette Hollingsworth, Barclays Capital 	<p align="center">Chopin <i>Mezzanine Level</i></p>

	<p>Learning objective: This two part panel will cover the specific risks that broker dealers face and the challenges of running a wealth management operation. You will learn from senior AML professionals what red flags to look for, and where money laundering is likely to occur, across the wealth management spectrum.</p>		
	<p>Breakout 1D</p> <p>AML 101: in English</p> <p>Detecting Suspicious Activity and the Need for Enhanced Due Diligence</p>	<ul style="list-style-type: none"> Moderator: Maria-Jose Fox, Manager, InCWeT Consulting & Instructor, FIBA AML Institute John Atkinson, Director, Regulatory Risk Consulting, Protiviti Inc. Dominic Suszek, President, BSA Strategies 	<p>Windsor/Sandringham Mezzanine Level</p>
	<p>Learning objective: This panel offers you the opportunity to hear from experienced AML practitioners on detecting suspicious activity and when you should carry out enhanced due diligence. There will be ample time for Q & A.</p>		
	<p>Breakout 1E</p> <p>AML 101: en español</p> <p>Banca de Corresponsalia y KYC</p>	<ul style="list-style-type: none"> Moderator: Ana Maria H. de Alba, Principal, CSMB, A Risk Management & Banking Consultancy & Lead Instructor, FIBA AML Institute Avelino Rodrigues, Managing Director, FTI Consulting Susan J. Galli, SVP, Chief Risk Management Officer, Pacific National Bank 	<p>Theatre Mezzanine Level</p>
	<p>Proposito del panel: Esta session ofrece la oportunidad de dialogar en detalle sobre los elementos especificos de la banca de corresponsalia. Se detaca la importancia de conocer a su cliente, y asegurar que la banca no hagan errores que puedan traer consecuencias inesperadas.</p>		
3:00 PM 3:15 PM	<p>WALK TO NEXT SESSIONS</p>		
3:15 PM 4:15 PM	<p>THREE (3) BREAKOUT SESSIONS</p>		
	<p>Breakout 2A</p> <p>SAR Monitoring and Reporting</p> <p>(Con traducción)</p>	<ul style="list-style-type: none"> Moderator: John Wagner, Director, BSA/AML Compliance, OCC William D. Ward, Senior VP, Union Bank Doug Cain, National Bank Examiner, OCC David Caruso, CEO, Dominion Advisory Group 	<p>Versailles Ballroom Mezzanine Level</p>
	<p>Learning objective: This panel will give you the tools you need to not only implement a strong SAR monitoring system, but also to report effectively on suspicious activity. Lack of monitoring and reporting has been the basis for some of the recent enforcement actions and multimillion dollar fines against bank.</p>		
	<p>Breakout 2B</p> <p>International AML Panel – China, the Caribbean, and Latin America</p> <p>(Con traducción)</p>	<ul style="list-style-type: none"> Moderator: Guillermo Horta, Managing Director, Regional AML Compliance Head for Mexico & Latin America, Citigroup Martin Livingston, Partner, Regulatory Financial Services, Maples & Calder (Cayman) Zenón Alberto Biagosch, Director de la Escuela de Negocios de la Universidad Católica Argentina Gabriel Caballero, Associate, Avila Rodriguez Hernandez Mena & Ferri LLP 	<p>Chopin Mezzanine Level</p>
	<p>Learning Objective: This panel will update you on the current AML environment in Latin America and the Caribbean, and for the first time, will include the information you need to know about AML if you are working with China. There will also be an update on the recent FATF meeting.</p>		
	<p>Breakout 2C</p> <p>Law Enforcement and AML</p> <p>(Con traducción)</p>	<ul style="list-style-type: none"> Moderator: Robert Targ, Partner, Diaz, Reus & Targ LLP Greg Baldwin, Partner, Holland & Knight LLP Deborah Morrissey, Supervisory Special Agent, ICE Lester M. Joseph, Principal Deputy Chief, Asset Forfeiture & Money Laundering Section, US Dept of Justice G. Philip Rutledge, Partner, Bybel Rutledge LLP 	<p>Trionon Mezzanine Level</p>

	Learning objective: This panel will dissect some of the recent cases and show you what went wrong and help you understand how you can avoid getting caught up in a law enforcement action against your institution. With Rosemont, Rothstein, and others so recent in our memory, this panel will keep you on the edge of your seats.		
4:15 PM 4:30 PM	WALK TO NEXT SESSION		
4:30 PM 5:45 PM	<p>General Session</p> <p>Regulatory Examinations on AML and OFAC Compliance</p> <p>(Con traducción)</p>	<ul style="list-style-type: none"> Moderator: Amy G. Rudnick, Partner, Gibson Dunn & Crutcher LLP Richard C. Stearns, Director, Enforcement & Compliance, OCC Lynn Sullivan, Executive Vice President, Chief Compliance & BSA Officer, Union Bank of California Melanie Garman, Executive VP & Chief Compliance Officer, MercantilCommercebanc 	Grand Ballroom Mezzanine Level
	Learning objective: This panel will give you valuable tips to help you prepare for your next examination, including both BSA/AML and OFAC. You will hear practical tips from industry and regulators on what to be ready for on your next examination.		
6:00 PM 7:00 PM	Welcome Cocktail Reception Sponsored by Diaz, Reus & Targ, LLP		Exhibit Area
DAY TWO - Friday, February 19, 2010			
7:00 AM	Registration Open - Sponsored by Daylight Forensic & Advisory LLC		Mezzanine
7:30 AM 8:30 AM	Power Breakfast and Sponsored Presentation Presented by World-Check		Chopin Mezzanine Level
7:30 AM 8:30 AM	<p>Sponsored Presentation:</p> <p>PONZI Scheme Tradecraft: An Insider's Perspective -Rothstein revealed</p>	<ul style="list-style-type: none"> Kenneth Rijock, World-Check 	Theater Mezzanine Level
8:30 AM 8:45 AM	<p>Wrap Up prior day</p> <p>(Con traducción)</p>		Grand Ballroom Mezzanine Level
8:45 AM 10:00 AM	<p>General Session: (Con traducción)</p> <p>Privacy & Confidentiality in Banking-What does the future hold in a world of global transparency?</p> <p>Who will have access to financial information in the United States</p> <p>Reg P and customer information sharing</p> <p>Privacy of information when outsourcing to third party/country</p> <p>New 314a proposal on information sharing</p>	<ul style="list-style-type: none"> Moderator: Clemente Vazquez-Bello, Esq., Partner, Gunster Yoakley, and Chairman, FIBA AML Conference Seno Brill, Head of International Wealth, SunTrust Banks, Inc. Nina Nichols, Special Counsel & Manager, Enforcement Section, Div. of Banking Supervision & Regulation, Federal Reserve Board Michael Zeldin, Principal, Deloitte Financial Advisory Services LLP Paul Pelletier, Principal Deputy Chief, Fraud Section, US Dept of Justice 	Grand Ballroom Mezzanine Level

	Learning objective: This panel is designed to ask the important questions surrounding the myriad issues of transparency and client privacy. What are the limits? Does the current enforcement environment violate Congressional law and intent? Will you have to share information with foreign law enforcement? The answers to these questions will have a profound impact on the U.S. financial system for years to come.		
10:00 AM 10:30 AM	WALK TO NEXT SESSIONS		
10:30 AM 11:30AM	FOUR (4) BREAKOUT SESSIONS		
	<p>Breakout 3A</p> <p>Tax Evasion as a Banking issue</p> <p>(Con traducción)</p>	<ul style="list-style-type: none"> Moderator: Carl Fornaris, Shareholder, Greenberg Traurig E. Ray Beeman, Partner, Venable LLC Ian M. Comisky, Partner, Blank Rome LLP Jeffrey A. Neiman, Assistant U.S. Attorney, United States Attorney's Office, Southern District of Florida Daniel Auer, Special Agent in Charge, IRS 	Versailles Mezzanine Level
	Learning Objective: This panel will help you navigate the complex issue of tax evasion. You will learn what Congress wants to do in upcoming legislative session, how DOJ sees tax evasion, and what this means for your banks both inside and outside the U.S.		
	<p>Breakout 3B</p> <p>FCPA and Bank's Responsibilities</p> <p>(Con traducción)</p>	<ul style="list-style-type: none"> Moderator: Carmina Hughes, Executive Director, Daylight Forensic and Advisory LLC Lee G. Dunst, Esq., Partner, Gibson Dunn & Crutcher LLP Sven Stumbauer, Director, Forensic, KPMG LLP Nelson Cardona, Director of Financial Crime, Barclays Capital 	Trianon Mezzanine Level
	Learning Objective: Undoubtedly one of the hottest emerging areas of enforcement actions, this panel will help you understand FCPA and protect your institution. International transactions cannot be completed by banks without taking FCPA into consideration. This panel will help you know what to look for and identify red flags.		
	<p>Breakout 3C</p> <p>Emerging Payment Risks: stored value cards, remotely created e-checks, new internal control requirements</p> <p>(Con traducción)</p>	<ul style="list-style-type: none"> Moderator: Don Carbaugh, Executive Director, AML Risk Management, JPMorgan Chase & Co. Suzanne Williams, Manager, BSA/AML Risk Section, Board of Governors of the Federal Reserve System John W. Campbell, Partner, PricewaterhouseCoopers LLP 	Chopin Mezzanine Level
	Learning Objective: This is an evolving area, with new products and payment channels coming into existence on what seems like almost a daily basis. Whether it is e payments, mobile payments or stored value cards, this panel will help you evaluate your own risks in dealing with these new products, and offer some suggestions on internal controls.		
	<p>Breakout 3D</p> <p>Leveraging Fraud and AML Systems Enterprise Wide – The need to share information “real time” across the enterprise</p>	<ul style="list-style-type: none"> Moderator: Lisa M. Grigg, Senior VP & Money Laundering Risk Executive for the America's, Bank of America Paul Henninger, Director, Financial Crimes Solutions, Actimize Jim Candelmo, Director of AML Investigations, GMAC, Inc. 	Theatre Mezzanine Level
	Learning Objective: At the heart of this year's conference is the convergence between money laundering and fraud. This panel will help you evaluate different solutions to the monumental challenge of sharing information real time across departments, across the enterprise and across a variety of IT systems that probably don't “talk” to each other.		
11:30 AM 12:15 PM	Coffee Break in the Exhibit Area		Exhibit Area
12:15 PM 2:00 PM	Luncheon with Keynote Speaker		Grand Ballroom Mezzanine

	Jeffrey H. Sloman United States Attorney, Southern District of Florida Sponsored by PricewaterhouseCoopers (Con traducción)		<i>Level</i>
2:00 PM 2:30 PM	Dessert and Coffee in Exhibit Area		Exhibit Area
2:30 PM 3:45 PM	TWO (2) BREAKOUT SESSIONS		
	<i>Breakout 4A</i> OFAC (Con traducción)	<ul style="list-style-type: none"> • Moderator: Andres Fernandez, Shareholder, Gunster Yoakley & Stewart, PA • Dennis P. Wood, Assistant Director, Compliance Outreach & Implementation, OFAC • Melanie Garman, Executive VP & Chief Compliance Officer, MercantilCommercebanc • Michael A. Dawson, Managing Director, Promontory Financial Group 	Versailles <i>Mezzanine</i> <i>Level</i>
	Learning Objective: <i>The panel will give you the latest information on recent enforcement actions, regulatory expectations, and how to deal with countries that may present conflicts of interest between OFAC and the U.S. bank.</i>		
	<i>Breakout 4B</i> International Wealth Management – AML Compliance and Business Issues for Broker Dealers and Private Bankers Part II of II (Con traducción)	<ul style="list-style-type: none"> • Moderator: Sergio Alvarez Mena, III, Executive Director, Morgan Stanley Smith Barney • Lourdes Gonzalez, Assistant Chief Counsel-Sales Practices, Div. of Trading & Markets, SEC • Jeff Horowitz, Managing Director, Chief AML and OFAC Officer, Pershing LLC • Sven Stumbauer, Director, Forensic, KPMG LLP • Yvette Hollingsworth, Barclays Capital 	Chopin <i>Mezzanine</i> <i>Level</i>
	Learning Objective: <i>Part II of the Wealth Management panel continues the discussion of how to manage what is considered to be an increasingly high risk business line. Examples of good internal controls, as well as what can go wrong, will give you new insights into the implementation of an effective AML compliance, whether you are a bank or a broker dealer.</i>		
3:45 PM - 4:00 PM	WALK TO NEXT SESSIONS		
4:00 PM - 5:15 PM	<i>General Session:</i> Ask the Regulators <i>As always, FIBA will close the 11th Annual AML Compliance Conference with a chance for you to pose the hard questions to the regulators.</i> (Con traducción)	<ul style="list-style-type: none"> • FDIC • OCC • State of Florida • OFAC • Federal Reserve • SEC • FinCEN (invited) • OTS 	Grand Ballroom <i>Mezzanine</i> <i>Level</i>
	FIBA 2010 AML Compliance Conference Adjourns Mark your calendars for the 11th Annual FIBA AML Conference - February 2011 in Miami		