



9th AML/CFT, Anti-Fraud and Financial Crimes Conference

Main Conference: July 10th & 11th, 2017

**Sandals Grande Antigua Resort & Spa
Dickenson Bay, St. John's, Antigua**

Theme:
Leading The Way To Strategic and Effective Compliance Amidst Challenges and Uncertainties

WHO SHOULD ATTEND

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| Accountants | Jewellery Stores |
| Auditors | Law Enforcement Agencies |
| Banks | Lawyers |
| Brokerage Firms | Lending Agencies |
| Car Dealers | Micro Finance Companies |
| Casinos | Money Services Businesses |
| CIP Agents | Mortgage Brokers |
| Corporate Service Providers | Mutual Fund Companies |
| Credit Unions | Offshore Services Providers |
| FINTECH Companies | Real Estate Companies |
| FIUs | Registrar of Co-operatives |
| Foreign Exchange Businesses | Regulators |
| Gaming Companies | Telecommunication Companies |
| Insurance Companies | Trust Companies |

MAIN CONFERENCE FEE & REGISTRATION

Standard Fees:

- * Standard fee per delegate **US\$695.00**
- * Group registrations of three (3) or more individuals from the same institution **US\$665.00**

Government Fees:

- * Government fee per delegate **US\$635.00**

Fees include Conference materials, continental breakfast, refreshment break and lunch for both days, as well as, a Monday night cocktail.

AGENDA HIGHLIGHTS

- ◆ Money Laundering and Other Financial Crimes and their Impact on Smaller Institutions
- ◆ Techniques to Consider when Establishing and Maintaining US Correspondent Relationships
- ◆ The Common Reporting Standard (CRS): “Uncommon Practices for Corporate Compliance and Reporting”
- ◆ Maximizing Investments in AML, Compliance Departments and Operations
- ◆ Human Resource Compliance: Understanding Know Your Employee, Conflicts of Interest, Bribery & Corruption, Privacy and Human Rights Issues

Contact Us

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SPEAKERS' PROFILE



Alison Jimenez utilizes her extensive background in the securities industry to consult and provide expert witness testimony on complex financial matters involving Compliance and Anti-Money Laundering. Prior to her current role, Ms. Jimenez held positions in the Legal Department of a large international broker-dealer and as a securities regulator.

Ms. Jimenez performs data analysis relating to the detection illicit funds and analysis of securities transactions including high frequency trading, alleged market manipulation and Ponzi schemes. Additionally, Ms. Jimenez plans and conducts independent Anti-Money Laundering audits of broker-dealers.

Ms. Jimenez has developed sophisticated data analysis tools to quantify compliance, regulatory and litigation risk for broker-dealers. Ms. Jimenez also serves as a securities Subject Matter Expert to AML technology solutions.



Brian Stoeckert is a recognized Risk Management Expert with more than fifteen (15) years of experience in providing start-ups through Fortune 500 companies with strategy intelligence, advisory services and witness testimony. At Stratis, Mr. Stoeckert manages an international portfolio of FinTech start-ups, Money Service Businesses, Financial Institutions, Government Agencies, Universities, and Entertainment Companies. Mr. Stoeckert has served as an expert witness in domestic and global civil and regulatory matters related to Anti-Money Laundering (AML) and Digital Currency Compliance.

Previously, Mr. Stoeckert led Booz Allen Hamilton's San Francisco-based strategy and risk practice, advising Boards of Directors, Audit and Compliance Committees and Executive Management teams of Financial Institutions, Money Service Businesses and Global Intelligence Firms. Brian has also served as a guest lecturer at New York University's Law School and Stern School of Business and he is a frequent presenter at Global Risk, Compliance and FinTech Conferences. Mr. Stoeckert is a member of the National Association of Corporate Directors, Chairman of the ACAMS Chapter Steering Committee and an Executive Board Member of the award-winning ACAMS Northern California Chapter. Mr. Stoeckert is a Certified Anti-Money Laundering Specialist (CAMS) and a Fraud Examiner (CFE).

SPEAKERS' PROFILE



Dennis Lormel retired from the Federal Bureau of Investigation (FBI) in December 2003, having served twenty-eight (28) years as a Special Agent. During his distinguished career, Mr. Lormel amassed extensive major case experience as a street agent, supervisor and senior executive, particularly in complex, document and labour intensive financial related investigative matters. In December 2000, Mr. Lormel was promoted to Chief of the FBI's Financial Crimes Program.

Immediately following the terrorist attacks of September 2001, Mr. Lormel formulated, established and directed the FBI's comprehensive terrorist financing initiative. Mr. Lormel developed and implemented a variety of proactive and progressive investigative methodologies. These efforts evolved into the formation of a formal Section within the Counterterrorism Division of the FBI, known as The Terrorist Financing Operations Section. For his visionary contributions, Mr. Lormel received numerous commendations and awards to include the Award for Investigative Initiative, from the U.S. Department of Justice and the George H. W. Bush Award for Excellence in Counterterrorism, from the Central Intelligence Agency.

Over the last thirteen (13) years, Mr. Lormel has provided risk advisory consulting services. He is the founder and President of DML Associates, LLC. Mr. Lormel provides consulting services and training related to terrorist financing, money laundering, fraud, financial crimes, suspicious activity and due diligence. He served as an Advisor to the Congressional Anti-Terrorist Financing Task Force in 2005 and 2006. Mr. Lormel was presented with the 2010 Association of Certified Anti-Money Laundering Specialists (ACAMS) Volunteer of the Year Award and currently serves as a member of the ACAMS Advisory Board. Mr. Lormel is also an Adjunct Professor, in the Master of Arts Program, for Financial Integrity, at Case Western Reserve University.



Erin O'Loughlin served within Bank of America's Global Financial Crimes and Compliance Division since 2011, working in both Fraud and Anti-Money Laundering (AML) divisions, prior to joining IBM. Ms. O'Loughlin ended her Bank of America career as a Senior AML investigator within the "terrorist financing" group. Prior to joining Bank of America, Ms. O'Loughlin spent ten (10) years serving as an operations officer within the Intelligence Community. Ms. O'Loughlin served as an operations officer in several critical posts in the Middle East, and the United States, as well as extensive travel in Africa, Eastern Europe, and Southeast Asia.

SPEAKERS' PROFILE



Garry Clement has thirty-four (34) years of policing experience, having worked in roles as the National Director for the Royal Canadian Mounted Police's Proceeds of Crime Program, in addition to having worked as an investigator and undercover operator into some of the highest organized crime levels throughout Canada.

Garry has worked in the Anti-Money Laundering (AML) arena since 1983 and was one of the pioneers of the RCMP's proceeds of crime program. Since 2007 he has worked as a consultant with a focus on financial crime and independent money laundering reviews for the Money Service Business industry, Credit Unions and Securities Firms.

In January 2016 the CEO of Barbri appointed Mr. Clement as a Senior Advisor to the Association of Certified Financial Crime Specialists (ACFS), followed by appointment as Executive Vice President & Executive Director in April 2017 with a mandate of helping shape the future of the organization.

Mr. Clement is a Certified member of Association of Certified Fraud Examiners, Association of Certified Money Laundering Experts, Association of Certified Financial Crime Specialists. In addition Mr. Clement is the founding member of the ACAMS Toronto, Montreal and Vancouver Chapters.



Glenna Smith is Managing Director of Smith Compliance Consulting (SCC) Inc. in Barbados, as well as, a Certified Anti-Money Laundering Specialist and the Vice-President of the Barbados Association of Compliance Professionals.

Ms. Smith is a member of the world wide AML Training faculty for a Global Bank to facilitate interactive training sessions for staff and raise awareness of the impact and importance of fighting Financial Crime.

Ms. Smith is a hands-on practitioner whose goal is to help achieve better compliance for clients, having worked directly in the field as a Compliance Officer facing regulators and managing inspections. Ms. Smith has gained wide and in-depth knowledge in Compliance, Operational Risk, Corporate Governance and legislative matters over her twenty-eight (28) years in the financial services sector.

Ms. Smith has authored a number of articles on AML, Governance, FATCA and Privacy and speaks regularly at conferences regionally and internationally.

SPEAKERS' PROFILE



Karen O'Brien is the founder and Managing Director of Global Compliance Solutions (GCS), an outsourced Compliance Company that is based in the Cayman Islands that services clients throughout the Caribbean. Ms. O'Brien was a Police Officer for sixteen (16) years with the Toronto Police Service, Ontario, Canada, and spent the last five (5) years of her career in the Fraud and Forgery Squad. Ms. O'Brien spent two (2) years investigating financial crime in the Cayman Islands as a Detective with the Royal Cayman Islands Police before branching out to the private sector and specializing in Compliance, Anti-Money Laundering and Regulatory issues.

Ms. O'Brien participated in the Cayman Islands National AML/TF Risk Assessment as a member of the Other Financial Institutions sub-committee. Ms. O'Brien is the founder of the International Association of Certified Compliance Specialists (IACCS), an Executive Committee member of the Cayman Islands Compliance Association and a member of the International Association of Financial Crimes Investigators.



Lauren Kohr's background includes more than eleven (11) years of experience in the financial sector with significant experience in Banking Secrecy Act /Anti-Money Laundering (BSA/AML) and Office of Foreign Assets Control (OFAC) Compliance. Currently, Ms. Kohr serves as the Senior Manager over AML/BSA governance and policy within the Financial Intelligence Unit at Pentagon Federal Credit Union in Alexandria, VA. Ms. Kohr is responsible for several aspects of the BSA Compliance program including Risk Assessments, Policy/Procedures, AML/BSA governance, quality assurance, and merger and acquisition due diligence.

Prior to Ms. Kohr current role, she was the VP/Director of AML/BSA/OFAC at Metro Bank. During this time, she was responsible for developing, implementing and overseeing all aspects of the Bank Secrecy Act Compliance Program, including USA Patriot Act, Anti-Money Laundering, and OFAC regulations. Ms. Kohr is continuously recognized as a technical expert on the Bank Secrecy Act and a financial crimes subject matter expert with particular strengths in BSA/AML Compliance and Program Management, Governance, process improvement/ implementation and quality assurance/audit reviews.

Ms. Kohr was the 2016 ACAMS AML Professional of the year and authored the 2016 ACAMS Article of the Year. Ms. Kohr is a frequent guest speaker at numerous conferences both domestically and internationally on AML/BSA/OFAC related topics. Ms. Kohr serves on the ACAMS U.S. Capital Board of Directors and ACAMS Annual Conference Task Force. Previously, Ms. Kohr was the president of the Central PA BS/AML/CTF user Group and PBA Marijuana Legalization Implementation Task Force in Harrisburg, PA. Ms. Kohr is currently CAMS-FCI certified.

SPEAKERS' PROFILE



Dr. Mara Wesseling is a senior researcher and independent expert in the field of Anti-Money Laundering and Combating Terrorism Financing (AML/CFT), Risk-Based Regulation and Effectiveness Assessments. Dr. Wesseling is affiliated with the University of Amsterdam and Sciences Po Paris as research associate. In 2013, Dr. Wesseling successfully defended her PhD thesis entitled 'The European Fight against Terrorism Financing: Professional Fields and New Governing Practices' at the University of Amsterdam. The two main case studies of this research project were the Terrorist Finance Tracking Program (TFTP) and the EU's 3rd AML-CFT Directive. In recent years, Dr. Wesseling has provided expertise on AML/CFT compliance and effectiveness to the European Parliament, the OECD, the Dutch Ministry of Finance, the Dutch Ministry of Justice, the Royal United Services Institute and to private companies. Previously Dr. Wesseling held positions at the European Institute for Public Administration (EIPA) and the Dutch Ministry of Foreign Affairs.



Sarah Beth Whetzel, is the founder and owner of Palmera Banking Solutions, a specialized Anti-Money Laundering/Counter Financing of Terrorism (AML/CTF) advisory firm providing Audits, Validations, Remediations and Custom Risk Assessments. Ms. Whetzel brings over fifteen (15) years of AML operational experience working with financial institutions of all types – including banks, FinTechs, MSBs, broker/dealers and mortgage companies. Sarah Beth is recognized in the consulting and auditing industry for her ability to navigate and operationalize global AML/CTF regulations to custom fit various environments and risk profiles. In Remediation and Software Validation roles, she envisions and implements technological changes to maximize efficiency throughout an institution's compliance regime. Ms. Whetzel is considered an expert in distilling FATF, Wolfsberg, EBA, and FinCEN guidance into actionable and effective risk-based programs.

Inefficiencies in AML Lead to Noncompliance is one of her most often-heard quotes and thus, finding and correcting inefficiencies is considered one of her greatest value-adds to any organization. Ms. Whetzel holds a Bachelor of Arts in Business from Taylor University and a Master of Science in Forensics (M.F.S.) from Stevenson University. She has been Certified Anti-Money Laundering Specialist (CAMS) certified for eleven (11) years.

SPEAKERS' PROFILE



Scott Dueweke is an expert on identity, the blockchain and alternative payment systems. Mr. Dueweke has advised senior leadership within financial institutions, the U.S. government, as well as, international law enforcement. Mr. Dueweke believes that reaching the potential of the blockchain and new digital payment systems to meet the needs of the disconnected billions requires understanding and management of the security risks inherent within them. Mr. Dueweke has provided training on digital identity, the blockchain and other digital value systems to non-profits, corporations and governments, including Citigroup, the National Health Care Innovation Summit, the US Intelligence Community, FBI, Department of State, USAID, INTERPOL, EUROPOL and the UNODC to name a few. Mr. Dueweke has worked with the IRS and other parts of government on understanding and managing the risks and costs of big data and privacy. Mr. Dueweke has also supported Operation Underground Railroad in their efforts to stop global child sex slavery rings.

Mr. Dueweke began his career with the U.S. Agency for International Development, where Mr. Dueweke participated in the Armenian earthquake and Hurricane Gilbert responses. Mr. Dueweke also co-founded Freedom Flight International in the mid-1990s where, working with the U.S. Coast Guard, his organization flew private aircraft over the Florida Straits to assist the rescue of Cuban rafters as profiled in the book, "Dying to Get Here: A Story of Coming to America".



Tyrone L. E. Fitzgerald is a Management Consultant, Anti-Money Laundering/Compliance Trainer and Corporate Strategist at Fitzgerald Consulting Group Ltd., an Organizational Development and Management Consulting Company, specializing in Interdependent Business Strategies, Corporate and Compliance Training and Coaching and Integrative Organizational Learning, Risk Management, Compliance Processes and Methodologies for Financial Institutions, Non-Profits, and Quasi-Governmental and Regulatory Agencies in the Bahamas and the Caribbean.

Mr. Fitzgerald has coached and consulted local and international businesses, entrepreneurs and individual and corporate clients in the areas of Corporate and Commercial Law, Anti-Money Laundering and Compliance, Business Development, Financial and Corporate Services, Academia, Politics, Philanthropy and Social Entrepreneurship in the Bahamas and Caribbean.

Mr. Fitzgerald has taught as an adjunct lecturer at The Bahamas Institute of Financial Services, a professional training institute for financial services professionals in the Bahamas. Mr. Fitzgerald holds a Bachelor of Arts degree in Economics from the University of Western Ontario, a Bachelor of Laws degree from the University of Leeds and a Master of Laws degree in Corporate and Commercial Law from the University of Cambridge.

SPEAKERS' PROFILE



Tyrone Neely is a career professional within the financial services industry, having served in International Banks and Trust Companies, a major accounting firm and the Regulator of Banks And Trusts Companies. Mr. Neely's experience, skill set and certification are uniquely diverse, including Financial Accounting and Auditing, Trust Administration, Operations, Information Technology and Regulatory Supervision.

Currently he leads Accord Services, offering products and services to the business and financial community in Risk and Compliance. Accord has developed proprietary systems in Risk and Control Documentation 'OnSite', and a pioneer training video in Reputation Risk (AML/CFT/KYC) 'Admit-One', which has become the product of choice by financial institutions in training their staff. A graduate of The College of The Bahamas, he is a licensed member of BICA (CPA), a member of STEP (TEP) and BACO, and also holds the Certified Information Systems Auditor (CISA) and Certified Computer Professional (CCP) designation. Mr. Neely recently achieved the International Certificate in Bank Risk and Regulation (ICBRR).

AML/CFT CONFERENCE 2017 HOTEL ACCOMMODATIONS



Trade Winds Hotel
Dickenson Bay
St. John's, Antigua
Tel: (268) 462-1223 Fax: (268) 462-5007
Website: www.twhantigua.com



HOTEL ROOM RATES:

Single/Double Occupancy Rate US\$161.00 per night (room only) based on availability.

Single/Double Occupancy Rate US\$181.00 per night (room and breakfast) based on availability.

Rates are for Single and Double Occupancy and do not include 22.5% tax and service charge.

Direct bookings can be made via the website www.twhantigua.com after clicking "Book Now" the promo code is "KAW" to secure the above rate.



Halcyon Cove by Rex Resorts
Dickenson Bay
St. John's, Antigua
Tel: (268) 462-0256 Fax: (268) 462-0271
Website: www.rexresort.com



HOTEL ROOM RATES:

Single Occupancy Rate US\$120.00 per night inclusive of breakfast and applicable hotel taxes.

Double Occupancy Rate US\$170.00 per night inclusive of breakfast and applicable hotel taxes.

Direct bookings can be made via email address timeshare@hch.rexresorts.travel or via telephone number (268) 484-0501 please indicate "KAW" to secure the above rate.



Antigua Village Beach Resort
P.O. Box 649
Dickenson Bay
St. John's, Antigua
Tel: (268) 462-2930 Fax: (268) 462-0375
Website: www.antiguavillage.net

HOTEL ROOM RATES:

Single/Double Occupancy Rate US\$161.00 per night inclusive of all applicable hotel taxes.

Direct bookings can be made via email address antiguavillage@candw.ag or via telephone number (268) 462-2930 please indicate "KAW CONFERENCE" to secure the above rate.

Free Shuttle Transportation will be provided to Sandals Grande Antigua Resort & Spa from Trade Winds Hotel, Halcyon Cove by Rex Resorts and Antigua Village only. Please contact KAW for details.

KAW Management Services Ltd. can also facilitate hotel reservations for delegates for an Administrative Fee of US\$10.00.