

September 20 - 21, 2022 • Virtual Conference

Team Leader, Examinations / Compliance Sector
Financial Transactions and Reports Analysis Centre of Canada



Anti-Money Laundering: Compliance 2022

Future proofing your AML approach to Anti-Money Laundering

YOUR FACULTY CONFIRMED PARTICIPANTS INCLUDE:



Rosalind Laruccia
Laurentian Bank of Canada



Stuart Davis
Scotiabank



Lisa Cinelli
Equitable Bank



Samuel Wiltshire
Wealthsimple



Andres Betancourt
Scotiabank

... and more



Authoritative Guidance from Canada's Leading Experts:

- Find out what's new: FINTRAC's Assessment Manual, examinations, and guidance
- Learn how different reporting entities are performing under new criteria
- Appreciate the insights provided by the Transparency International Canada "Snow Washing" Report
- Learn about the risk of different VC business models, transaction monitoring tools and crime-related trends
- Understand the travel rule and implement new automated travel rule solutions
- Benefit from police insights on new typologies and emerging red flags
- Stay on top of new trends in naming, shaming and penalties – important cases, damage control and assessing harm done
- Assess the practical boundaries of AI & machine learning in solving AML issues
- Know what elements your organization needs to consider in addressing your Russia exposure, potential risk to reputation, legal and sanctions risk

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Anti-Money Laundering: Compliance 2022

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DAY ONE PROGRAM AGENDA: TUESDAY, SEPTEMBER 20, 2022

10:00 - 10:15 EDT



Welcome and Opening Remarks from the Chair

Amber D. Scott, Founder & CEO, Outlier Solutions Inc.

10:15 - 11:00 EDT



FINTRAC Update: New Regulations and the New FINTRAC Assessment Model

Kelly Young, Team Leader, Examinations / Compliance Sector, Financial Transactions and Reports Analysis Centre of Canada

- Overview of FINTRAC's assessment approach
- What is FINTRAC's approach in assessing the amended regulations
- How harm is factored into our approach and outcomes
- Summary on FINTRAC's approach post CIF
- Highlight of successes and challenges/gaps we are seeing across some of the sectors

11:00 - 11:45 EDT



Snow Washing - Why Canada is Marketed Abroad as a Secrecy Jurisdiction Exploited by Drug Dealers, Arms Traffickers, Corrupt Politicians and More

Eric Hansen, Director, ManchesterCF Financial Intelligence

With antiquated corporate registries that have limited search functionality and disclose little about ownership, and vast shortcomings in Canada's financial crime detection and enforcement mechanisms, Canada is among the most opaque jurisdictions globally. It is possible to set up and operate companies from abroad with little risk of being held accountable for wrongdoing.

- The need for transparent company data
- April 2021 proposal to implement a public beneficial ownership registry by 2025
- Shell companies as "the getaway cars of financial crime."
- Characteristics making Canadian entities attractive as shells
- Why The Limited Partnership (LP) is particularly vulnerable to exploitation for transnational financial crime
- Intermediaries and Intermediary advertisements
- The power of an open registry: Case studies using U.K data
- Other required changes to company laws

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11:45 - 12:30 EDT



Cullen Commission of Inquiry into Money Laundering in British Columbia: Findings and Recommendations

Brock Martland, QC, Senior Commission Counsel, Cullen Commission of Inquiry into Money Laundering in BC

Key findings from the Cullen Commission final report, which was made public on 15 June 2022

- New initiatives and measures to achieve beneficial ownership transparency, at the national and pan-Canadian level, as well as BC's Land Owner Transparency Registry
- Law enforcement and regulatory reforms and issues to improve the response to money laundering risks and vulnerabilities
- Public interest in, and awareness of, money laundering issues

12:30 - 13:15 EDT Break

13:15 - 14:00 EDT



Managing the Risk of Crypto Assets: AML Regulation of Criminal (Cryptocurrency) / Virtual Currency

Moderator: Ryan Mueller, Chief Executive Officer, Phantom Compliance



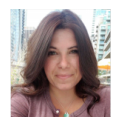
Adrienne Vickery, OIC Money Laundering / Cryptocurrency, Federal Policing Criminal Operations, Royal Canadian Mounted Police

Samuel Wiltshire, Director, AML, Wealthsimple



Jennifer Morin, Compliance Officer, Fraud Specialist, Coinsmart

Dealers in virtual currency (VC) have been regulated as money services businesses (MSBs) since 2020. Dealers in VC that hold custody of VC on behalf of clients are also regulated as securities dealers. While the sector faces some unique challenges, it has also risen to the challenge of providing high quality actionable information for law enforcement. The panel will discuss:



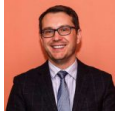
- Different VC business models and their respective risk
- Unique VC-related transaction monitoring tools, such as blockchain analytics tool
- Crime-related trends
- Need for threat intelligence
- Need for statement of risk appetite

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14:00 - 14:45 EDT



Reporting Obligations - Electronic Funds Transfer, Virtual Currency and the Travel Rule

Paul Burak, Compliance Officer, Newton Crypto Ltd.

Financial entities, money service businesses, foreign MSBs and casinos are subject to the Travel Rule. The travel rule is the requirement to ensure that specific information is included with the information sent or received in an EFT or a VC transfer. Information received under the travel rule cannot be removed from a transfer.

- What information must accompany an EFT or VC transfer?
- What if an EFT or VC transfer does not include the required information?
- What are “reasonable measures” to obtain the missing information?
- Requirement to describe “reasonable measures” in writing in policies and procedures
- Risk-based written policies and procedures for what to do when reasonable measures are not effective

14:45 - 15:00 EDT Break

15:00 - 15:45 EDT



The Essentials of Suspicious Transaction Reporting!

Jacqueline Shinfield, Partner, Blakes

- What are reasonable grounds to suspect (RGS)
- Steps/Measures for determining if you have “reasonable grounds to suspect” (RGS)
- How suspicion may arise
- FINTRAC and self-assessment, quality control, update on penalties
- Case studies and reporting deficiencies to avoid

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15:45 - 16:45 EDT



Police Observations on New Trends: New Typologies, Emerging Red Flags & Practical Guidance for Reporting Entities

Moderator: Amber D. Scott, Founder & CEO, Outlier Solutions Inc.



Stephen Scott, Civil Forfeiture Liaison Officer, Alberta Law Enforcement Response Team (ALERT)



Dale Duchesne, The Royal Canadian Mounted Police (RCMP) Greater Toronto Area (GTA), Integrated Money Laundering Investigative Team (IMLIT)

- What are some of the similarities and differences between an AML compliance investigation and a police investigation?
- Difference between intelligence, information and evidence
- A FINTRAC disclosure is an “intelligence product” based on information provided by reporting entities. What needs to be done to action this as evidence and how can REs complete more relevant STRs?
- What are some of the obstacles when conducting international and high level money laundering / asset forfeiture investigations?
- What does an ideal public private partnership mechanism look like?
- Future crime – crypto or cash / combination / source of funds and predicate crimes

16:45 - 17:00 EDT

Q & A

17:00 EDT

End of Day One

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DAY TWO PROGRAM AGENDA: WEDNESDAY, SEPTEMBER 21, 2022

10:00 - 10:15 EDT



Welcome and Opening Remarks from the Chair

Amber D. Scott, Founder & CEO, Outlier Solutions Inc.

10:15 - 11:00 EDT



Naming, Shaming and Penalties

Elizabeth Sale, Partner, Osler, Hoskin & Harcourt LLP

- Important cases imposing administrative penalties
- Damage control: Impact of naming and shaming Lessons learned
- Emerging trends
- Principles and guidelines used by FINTRAC
- Assessing non-compliance issues
- Categories of violation
- Criteria for determining amount
- Assessing “harm done”
- Right of appeal

11:00 - 11:15 EDT Break

11:15 - 12:00 EDT



Mitigating Russia Sanctions and Trade Controls Risk

John Boscariol, Partner in the Litigation Group, Leader of the International Trade & Investment Law Group, McCarthy Tétrault LLP

- Addressing heightened risk environment doing business internationally – reputational, legal and sanctions risk
- Key elements organizations need to consider in assessing their Russia exposure
- Managing the interaction of Canadian, US, UK and EU sanctions and trade controls against Russia
- Dealing with the regulators and enforcement authorities
- Mandatory disclosures/reporting to authorities

12:00 - 12:45 EDT Break

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12:45 - 13:30 EDT



Practical Boundaries of AI & Machine Learning in Solving AML Issues

Michael Abate, Senior Manager, Risk Advisory, Deloitte

Sandeep Chopra, Director, Deloitte

13:30 - 14:15 EDT



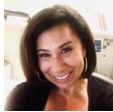
AML Compliance Reviews for Reporting Entities

Rebecca Ip, Partner, Risk Consulting & Financial Crimes, KPMG Canada

Jennifer Fiddian-Green, Partner, National AML Services, Grant Thornton LLP



Rosalind Laruccia, Assistant Vice-President Compliance, Regulatory Risk Management, Laurentian Bank of Canada



- How complete and effective is your compliance program?
- Requirements for larger institutions, federally regulated institutions and smaller companies
- Who should perform the review and what to spend?
- Do your documents (policies, procedures, risk assessment and training) meet requirements for your business?
- What was tested in your review and how, including customer identification, recordkeeping and FINTRAC reporting
- The need to document changes to your program or operations following review

14:15 - 14:30 EDT Break

14:30 - 15:15 EDT



An Update on the New Payment Service Provider Regulatory Framework

Gabriel Ngo, Director, Enforcement, Retail Payments Supervisions, Bank of Canada

15:15 - 16:00 EDT



Public Private Partnership: Collaboration Between Reporting Entities: How Different Types of Reporting Entities Can Work Together for Better Results Across the Industry

Joseph Iuso, Chief Compliance Officer, Payment Source Inc.



Peter Warrack, Chief Compliance Officer, Bitfinex

Cameron Field, Vice President, VIDOCQ

Stuart Davis, Executive Vice President and Group Chief AML Officer for Scotiabank's Financial Crimes Risk Management, Scotiabank

Public private partnerships (PPPs) involve the coordinated efforts of industry members, regulators and law enforcement working in concert to develop actionable solutions.

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16:00 - 17:00 EDT



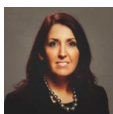
Navigating Regulatory Change: Last Words from the Experts

Moderator: Amber D. Scott, Founder & CEO, Outlier Solutions Inc.

Andres Betancourt, Senior Audit Manager, AML/ATF & Sanctions, Scotiabank

Karen Creen, CAMLO and Sr. Compliance Manager, Bank of China

Lisa Cinelli, Vice-President, Chief Compliance Officer and Chief AML Officer, Equitable Bank



17:00 EDT

End of Day Two

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Organization _____

Telephone (____) _____ Ext _____ Fax (____) _____

Email address _____

Name of Approving Manager _____ Title _____

Address _____

City _____ Province _____ Postal Code _____

Company's main line of business _____ Number of Employees _____

2 SELECT YOUR PREFERRED PAYMENT METHOD

Prices subject to GST / HST	Full Price	Register by September 16
Course for 1 Registrant	CAD \$ 2,499	CAD \$ 2,399 Subsequent Delegates: CAD \$ 1,199

** Groups must register together at the same time to be eligible for group savings.*



Method of Payment: ☐ VISA ☐ MasterCard ☐ Cheque enclosed, payable to INFONEX Inc.

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VIRTUAL CONFERENCE:

Anti-Money Laundering: Compliance 2022 will be held as a virtual on-line event. Details on how to access and participate in the event will be sent to all confirmed delegates prior to run date.

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CANCELLATION POLICY:

Substitutions may be made at any time. If you are unable to attend, please make cancellations in writing and email to register@infonex.com or fax to 1.800.558.6520 **no later than September 6, 2022**. A credit voucher will be issued to you for the full amount, redeemable against any other INFONEX course and which is valid for twelve months (one year) from the date of issue.

Registrants who cancel after **September 6, 2022**, will not be eligible to receive any credits and are liable for the entire registration fee.

Confirmed registrants who do not cancel by **September 6, 2022** and fail to attend will be liable for the entire registration fee.

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