

September 19 - 20, 2023 • Virtual Conference

Anti-Money Laundering: Compliance 2023

Key Insights for Greater AML Effectiveness

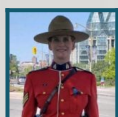


YOUR FACULTY

CONFIRMED PARTICIPANTS INCLUDE:



Cindy Zhang
Borden Ladner
Gervais LLP



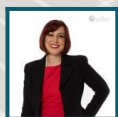
Adrienne Vickery
RCMP



Charles Victor
Gonzales



Mark Van Stone
First National
Financial LP



Amber D. Scott
Outlier Solutions
Inc.

... and more

Advice from leading experts on:

- Understanding the latest updates to the Proceeds of Crime (Money Laundering) and Terrorist Financing Act and regulations, including presentations by policymakers, regulators, and industry experts
- Navigating AML and sanctions compliance amid global change
- Translating economic crime trends into actionable intelligence for your compliance group
- Gaining insight and perspective on FINTRAC's expectations
- Understand new requirements for mortgage lending entities now subject to PCMLTFA
- Learning how to perform AML compliance effectiveness reviews/Audits for reporting entities
- Learning about Canadian developments re Beneficial Ownership Registries
- Making a deep dive into the criminal use of cyber currency
- Sharing best practices for safely manage high-risk clients



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Anti-Money Laundering: Compliance 2023

September 19 - 20, 2023 • Virtual Conference

DAY ONE PROGRAM AGENDA: TUESDAY, SEPTEMBER 19, 2023

10:00 - 10:15 EDT



Welcome and Opening Remarks from the Chairs

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

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



10:15 - 11:00 EDT



Opening Keynote Address

FINTRAC Priorities and Compliance Expectations for 2023

Nathalie Martineau, Regional Director, FINTRAC

- Strengthening Canada's AML/FTA regime
- Canada's legislative framework – where are we going?
- Working with counterparts in financial intelligence and regulatory agencies
- Pursuing innovation to better manage in today's challenging environment
- Public-private partnership initiatives

11:00 - 11:45 EDT



What You Need to Know: Parliamentary Review of Canada's AML Legislation

Charlene Davidson, Director, Financial Crimes Policy, Finance Canada

- What is the Parliamentary Review of Canada's AML legislation?
- How is industry participating, and how can you provide inputs?
- What are the expected outcomes?

11:45 - 12:30 EDT



How Do You Measure Up and How to Prepare for FINTRAC Examinations

Charles Victor Gonzales, AML Compliance Professional; Former Regional Compliance Manager, FINTRAC (Vancouver & Toronto)

- The expected detail required for a reporting entity's compliance program including details on design, application, and delivery
- What to consider in determining how you measure up to FINTRAC requirements.
- The Importance of self-auditing and continuous improvement
- FINTRAC examination practices

12:30 - 13:15 EDT Break

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DAY ONE PROGRAM AGENDA: TUESDAY, SEPTEMBER 19, 2023

13:15 - 14:00 EDT



Impact of Recent Developments Under AML Law and Policy - Prepare Now!

Jacqueline Shinfield, Partner, Blake, Cassels & Graydon LLP

- Beneficial ownership registry;
- Canada's new Inherent Risk Assessment;
- Proposed changes to the PCMLTFA;
- Mortgage lenders and brokers;
- Armoured car carriers;
- FINTRAC expenses passed on;
- The Retail Payments Activities Act-what you need to know

14:00 - 14:45 EDT



New Comprehensive Compliance Requirements for Mortgage Lending Entities Now Subject to PCMLTFA

Mark Van Stone, Director & Deputy Anti-Money Laundering Officer, First National Financial LP



Morgen Cookson, Director / Chief Anti-Money Laundering Officer, Financial Intelligence Unit - Enterprise Risk Management, MCAP

Some mortgage lenders have historically implemented voluntary AML compliance. With updates to the PCMLTFA and regulations first released in draft in early 2023, all mortgage lenders will be required to implement comprehensive AML programs.

- Explore what the implementation of AML requirements means for the mortgage lending industry
- Understand the application of a risk-based approach to mortgage lending AML with top compliance professionals
- Consider whether gaps remain in the real estate industry that facilitate "snow washing"

14:45 - 15:00 EDT Break

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DAY ONE PROGRAM AGENDA: TUESDAY, SEPTEMBER 19, 2023

15:00 - 15:45 EDT



Operationalizing and Balancing AML Requirements to Assist Vulnerable Persons: Recent Changes in ID Requirements

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



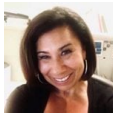
Jinisha Bhatt, Independent Crypto Compliance Consultant, Instructor, Human Trafficking Training Center



Kristie Lestition, Director, AML Compliance & Fraud, FirstOntario Credit Union

- What is acceptable non-standard ID?
- What policies and procedures are required?
- How are banks operationalizing the requirements: “document(s) from a reliable source,” “customer in good standing with the Bank,” and “natural person of good standing in the community,”
- Policies and procedures to be informed by an assessment of related risks and account for the use of controls and measures to mitigate risks
- How are changes allowing financial institutions to provide deposit accounts for vulnerable persons, without complete identification, working?
- Training staff to balance AML requirements against the need to assist vulnerable persons

15:45 - 16:30 EDT



AML Compliance Effectiveness Reviews / Audits for Reporting Entities

Rosalind Laruccia, Global Head of Enterprise Risk & Regulatory Compliance, Avison Young

- Completeness and effectiveness of your anti money laundering (AML) and counter terrorist financing (CTF) compliance program
- Requirements for larger institutions, federally regulated institutions and smaller companies
- Deciding who should perform the review and what to spend
- Testing your documented program (policies, procedures, risk assessment and training) Do they meet the requirements for your business?
- Testing operations – what was tested and how, including customer identification, recordkeeping and FINTRAC reporting

16:30 EDT

End of Day One

Anti-Money Laundering: Compliance 2023

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DAY TWO PROGRAM AGENDA: WEDNESDAY, SEPTEMBER 20, 2023

10:00 - 10:15 EDT



Welcome and Opening Remarks from the Chairs

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

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



10:15 - 11:00 EDT



Recent Initiatives: How Beneficial Ownership Registries Increase Transparency / Reduce Illicit Activities

Martin Simard, Senior Director, Corporate, Insolvency and Competition Policy, Innovation, Science and Economic Development Canada



Yves Pepin, Enterprise Registrar, Quebec

Kaine Sparks, Executive Director and Registrar, BC Provincial Government



Louis Larochelle-Prégent, Enterprise Registrar, Quebec

Updates to federal legislation will create a beneficial ownership registry that is intended to increase transparency and prevent the use of corporations for illicit activities.

Québec and BC are the first Canadian jurisdictions to put in place a system that will make corporate and other ultimate beneficiary information publicly accessible. This session will discuss issues relating to these initiatives.

11:00 - 11:45 EDT



Cracking Down on Financial Crimes: Anticipated Benefits of the New Canada Financial Crimes Agency

Pamela Meneguzzi, Special Advisor, Financial Crime Coordination Centre, Public Safety Canada



Marc Y. Tassé, External Member - Departmental Audit Committee, Public Safety Canada

- What have we learned from the five-year pilot, and pre-cursor to the new agency - The Financial Crimes Coordination Centre (FC3)?
- How will Canada's intention to crack down on financial crimes be realized through the New Canada Financial Crimes Agency?
- Will the new Agency be a stand-alone law enforcement agency - with the ability to lay charges - or a co-ordinating body assisting in financial crimes investigations?
- How will bringing together the RCMP, the Financial Transactions and Reports Analysis Centre (FINTRAC) and the Canada Revenue Agency improve Canada's ability to tackle financial crime

DAY TWO PROGRAM AGENDA: WEDNESDAY, SEPTEMBER 20, 2023

11:45 - 12:30 EDT



Criminal Use of Cyber Currency - How to Stop the Laundering of Criminal Cash

Adrienne Vickery, Insp., OIC Cryptocurrency / Money Laundering, Federal Policing Criminal Operations, RCMP

Cryptocurrency has become a go-to source to launder millions in criminal cash, because it can be exchanged into legal tender paper money such as Canadian or U.S. dollars. A total of \$75 million was linked to cryptocurrency-enabled frauds in Canada in 2021, up from \$22.8 million in 2020 and \$8.2 million in 2019

- Criminal use of crypto currency
- Investigative techniques when crypto currencies are involved.
- Current trends in the illicit use of cryptocurrency, tracing the flow of digital currency,
- Case studies, legal concerns and seizures
- Finding out is who is controlling the cryptocurrency

12:30 - 13:15 EDT Break

13:15 - 14:00 EDT

Best Practices for Safely Managing High Risk Clients

Charlene Sebastian, VP, Strategic Partnerships, Minerva AI

Today's institutions are facing increased regulatory pressures governing Customer Due Diligence (CDD) and Enhanced Due Diligence (EDD) procedures, particularly regarding high-risk customers. Find out: How can you better manage and mitigate risks associated with these customers

- The challenges of conventional approaches
- Four areas of focus to strengthen your CDD/EDD program:
 - High-Risk Customer Segmentation
 - Risk Stratification
 - EDD Reviews
 - High-Risk Customer Surveillance

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DAY TWO PROGRAM AGENDA: WEDNESDAY, SEPTEMBER 20, 2023

14:00 - 14:45 EDT



Guidelines on Risk Monitoring Using Key Indicators: Translating Indicators into Useful Recognizable Behaviours

Moderator: Cindy Zhang, Lawyer (Financial Services Regulatory), Borden Ladner Gervais LLP



Sean Parker, Director Transaction Monitoring-Correspondent Banking, CIBC



Claudius O. Otegbade, Director, Compliance & Privacy Officer, WFCU Credit Union



James Moore, Chief Anti-Money Laundering Officer (CAMLO), Digital Commerce Bank

- OSFI Releases Draft Culture and Behaviour Risk Guideline
- FINTRAC indicators, how do they compare, and how do we translate them into recognizable behaviours that are useful?
- What do AI indicators look like?
- How money moves through the Canadian economy – what are the indicators?
- Use of AI to modernize your risk-based approach

14:45 - 15:30 EDT



Sanctions and Sanction Evasion: - Stop the Moving Targets!

John Boscariol, Partner, McCarthy Tétrault LLP

As the Russian invasion of Ukraine entered its second year, the Financial Action Task Force (FATF) suspended Russia's membership, and FATF member jurisdictions imposed new sanctions. Sanctions risk and compliance is now a priority concern for C-suite and the board. For Canadian reporting entities, the value of sanctions compliance is clear, but the path to compliance may not always be equally evident.

- Geopolitical risk and threat – Russia, China, Iran and other targets
- Freezing assets of sanction targets and enablers
- New mechanisms for forfeiture of sanctioned person assets
- Canada's new "deemed ownership" rule
- Addressing key differences between Canadian sanctions and those of its allies (US, UK and EU)
- Canadian-specific sanctions compliance challenges
- Countering sanctions evasion
- Ensuring preparedness for rapidly evolving sanctions regimes
- Changes to the screening landscape
- Preparing for expanded economic sanctions against China

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Closing Keynote Address

Revisiting Risk in a Climate of Economic Insecurity

Kim R. Manchester, Managing Director, ManchesterCF Financial Intelligence

Geopolitical tensions, a cost-of-living crisis, and a looming recession are creating the need to double down on risk mitigation efforts. This session will consider:

- Crime in Canada - are we still “snowwashing?”
- How have the COVID-19 pandemic, and rising inflation affected financial crime trends?
- What’s next, and is Canada well-equipped to handle it?

16:15 EDT

End of Day Two

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Increase your visibility with senior business strategy, technology, analytics, and business intelligence professionals at *Anti-Money Laundering: Compliance 2023*. A limited number of sponsorship options are available.

For more information or to check availability, contact our sponsorship department by telephone at 416.507.4202, or by email at sponsorship@infonex.com.

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Address _____

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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 15
Course for Groups of 3 +	CAD \$ 2,299 each	CAD \$ 2,199 each
Course for Groups of 2	CAD \$ 2,399 each	CAD \$ 2,299 each
Course for 1 Registrant	CAD \$ 2,499	CAD \$ 2,399

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

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VIRTUAL CONFERENCE:

Anti-Money Laundering: Compliance 2023 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 5, 2023**. 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 5, 2023**, will not be eligible to receive any credits and are liable for the entire registration fee.

Confirmed registrants who do not cancel by **September 5, 2023** and fail to attend will be liable for the entire registration fee.

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