

B A C E E

BANKING ASSOCIATION
FOR CENTRAL
AND EASTERN EUROPE



INSTITUTE OF BANKING
EDUCATION NBS, n.o.

6th International Anti-Money Laundering and Compliance Conference: Fighting Financial Crime

10-11 December 2018, Crowne Plaza Bratislava

PRELIMINARY PROGRAMME

as of 8 November 2018

GOLD SPONSOR



SILVER SPONSORS



BUREAU VAN DIJK

A Moody's Analytics Company



BRONZE SPONSOR



CO-OPERATION PARTNER



DAY 1**10 December 2018 (Monday)****08:00-08:30****Registration****08:30-08:45****Opening Speeches***Peter Szovics, Director, Institute of Banking Education NBS, n.o.**Dr. Sándor Patyi, Chairman of the Banking Association for Central and Eastern Europe (BACEE); Deputy CEO, OTP Banka Slovensko***08:45-09:00****Welcome Speech***Júlia Čillíková, Executive Director, Regulation and Financial Consumer Protection Division, National Bank of Slovakia***SESSION 1:****NEW AND EMERGING REGULATION, REFORM AND RESILIENCE IN COMPLIANCE****09:00-09:30****The new EU legal framework - the 4th and the 5th AMLD***Iva Zamarian, Legal officer, DG Justice and Consumers, European Commission*

- Latest developments of EU AML legal framework - the 4th and 5th AMLD
- EU priorities in the AML/CTF field

09:30-10:00**Moneyval country assessments and most common practices***Veronika Mets, Senior Administrator in the Moneyval Secretariat*

- Overview of country assessment procedure
- Role of the private sector in country assessments
- Impacts of country assessments
- Most common practices and findings in relation to banking Fis

10:00-10:30**Economic Sanctions and US Foreign Policy***Alison Cooper, Chief, Blocked Assets Administration and Analysis, Office of Foreign Assets Control (OFAC), U.S. Department of the Treasury*

- Overview of U.S. sanctions
- Recent U.S. sanctions developments
- OFAC enforcement actions
- Resources

10:30-10:55**Fintech AML requirements and challenges***Martin Peter, Head of Banking Department, Ministry of Finance of the Slovak Republic***10:55-11:20****Coffee Break****SESSION 2:****CUSTOMER IDENTIFICATION REQUIREMENTS AND UBO VERIFICATION****11:20-11:45****Third-party risk exposure. Navigating complex ownership structures***Andrej Kovacik, Compliance Team Leader, Bureau van Dijk**Matus Levocky, Consultant Risk & Compliance, Bureau van Dijk*

- Value of client data for on-boarding and KYC
- Advanced analytics for risk assessment
- Monitoring in changing environment

11:45-12:10**Compliance in the Cloud : challenges and benefits***Olivier Denis, Senior Product Development Manager, Payment Solutions, EastNets*

- Speed, efficiency + cost of ownership
- Security, Regulations, Data control
- Rapid reaction to an ever changing compliance environment

12:10-12:30	<p>SWIFT Name Screening: To Screen customer & supplier names for effective sanctions and CDD compliance <i>Gizem Tansu, Manager Financial Crime Compliance Initiatives – EMEA, SWIFT</i></p> <ul style="list-style-type: none"> • Name Screening enables you to check entire databases and single names of individuals and companies against a broad range of the most commonly used lists • Hosted and managed by SWIFT, it can easily be tailored to address local regulatory requirements and institutional risk policies • SWIFT manages list updates as they occur, enabling you to automatically screen databases as part of your business as usual processes
12:30-12:55	<p>The 1st/2nd and 3rd line of defence, what else should be done? <i>Mario Tuchscher, CAMS, Group Anti-Financial Crime, Compliance, UniCredit SpA</i></p> <ul style="list-style-type: none"> • Do you need the Quality Assurance and if so, how should the scope be defined? • Methodologies/ approach can vary, but which is the convenient one for you? • Be careful what you are asking for, since you might get it

12:55 -13:45 Lunch

SESSION 3: NEW APPROACHES IN COMPLYING WITH AML

13:45-14:10	<p>EBA’s approach to creating common understanding of the Risk Based Approach <i>Endija Springe, AML/CFT Policy Expert, European Banking Authority</i></p> <ul style="list-style-type: none"> • EBA’s role and powers • Draft Regulatory Technical Standards, Guidelines and Opinions • Q & As
14:10-14:35	<p>A.I. and Machine Learning for real-time compliance and financial crime detection <i>Valerriy Voditchenski, COO/Business Development, idetect</i></p> <ul style="list-style-type: none"> • A.I. and Machine Learning for financial crime detection - how does it work ? • The benefits A.I. and ML bring to the compliance teams and risk mitigation • Is full real-time AML detection and prevention the future
14:35-14:55	<p>Effective KYC strategy vs. New AML regulation <i>Ján Gallo, Compliance Risk Manager, Tatra banka, a.s. - member of Raiffeisen Bank International</i></p> <ul style="list-style-type: none"> • Set up a modern KYC strategy for large banks • Be effective and AML compliant in KYC onboarding and review process • Use of Best Practice and progressive RegTech
14:55-15:20	<p>Building new tax due diligence as part of AML process <i>Anna Kramer, Tax Regulatory Compliance Expert, East-West United Bank S.A</i></p> <ul style="list-style-type: none"> • Approach of Luxembourg regulator (CSSF) to tax controls in the scope of AML regulation • Practical aspects of tax due diligence implementation in AML procedure in EWUB • Key findings after the first year of implementation

15:20-15:50 Coffee break

SESSION 4: COMPLIANCE MANAGEMENT IN 2018: CURRENT ISSUES AND GOOD PRACTICE SHARING	
15:50-16:15	<p>Importance of honesty and business integrity in international financial institutions <i>Bandini Chhichhia, Principal, Policy and Ethics, Office of the Chief Compliance Officer, The European Bank for Reconstruction and Development</i></p> <ul style="list-style-type: none"> • International financial institutions (IFIs) are key actors and drivers in any market, and therefore have additional responsibilities to act as model corporate citizens – “beacon of integrity” • Internal governance (policies, procedures and processes) structure and internal justice system of IFIs • Trust, transparency and ethics are part of their corporate brand and identity
16:15-16:40	<p>Compliance function in the International Investment Bank: Challenges and Opportunities <i>Grigory Gruzinov, Director, Compliance Department, International Investment Bank</i></p> <ul style="list-style-type: none"> • Governance, risk and compliance framework • Compliance risk self-assessment in IIB
16:40-17:05	<p>KYC for legal entities with complex structures and CDD <i>Zuzana Jankovič, Compliance & AML, Expobank CZ a.s.</i></p> <ul style="list-style-type: none"> • What are legal entities with complex structures and how to determine them? • Ownership structure – how far to go? • Documents, data, information – do you have all of them?
17:05-17:30	<p>AML issues and challenges for 2018-2019 <i>András Bácsfalvi, Director of Compliance & AML, MKB Bank Plc.</i></p>
17:30-17:55	<p>Smart technology around AML/CFT <i>Olga Petrovicova, Compliance Professional, AMLSystem</i></p> <ul style="list-style-type: none"> • Smart technologies in Client onboarding • Risk scoring, transaction monitoring and transformation of AML Programs • Challenges facing smart technologies around AML/CFT

18:00 Cocktail Reception

DAY 2 11 December 2018 (Tuesday)

08:30-09:00 Registration

SESSION 5: FIGHTING MONEY LAUNDERING: METHODS AND MARKETS

09:00-09:20	<p>Exchange of information in preliminary investigation proceedings on money laundering <i>Thomas Liensberger, Prosecutor, Austria</i></p> <ul style="list-style-type: none"> • Exchange of information between FIU, PPO and the Court in the context of preliminary judicial (ML) proceedings • Community instruments for gathering evidence and exchanging information between EU Member States • The role of Eurojust und Europol in strengthening judicial action on money laundering
09:20-09:40	<p>ML patterns – some crucial international examples <i>Doris Wohlschlagl-Aschberger, Banking and Capital Market Expert, Vienna</i></p> <ul style="list-style-type: none"> • Gold & Diamonds – no point of source • Cash & gold - fast and not to be traced • TBML vs SBML – scam and fraudulent behavior

09:40-10:00	<p>What do money-launderers invest in? Tereza Bábová, <i>Financial Analytical Office, Czech Republic</i></p> <ul style="list-style-type: none"> • Underlying offences • Preferences: attractiveness, capability... and fondness • Cash: but how?
10:00-10:20	<p>The impact of Regulation on Blockchain Kyle Phillips, <i>Senior Associate, Howard Kennedy LLP</i></p> <ul style="list-style-type: none"> • A review of the use of blockchain technology in AML • How current AML procedures are potentially limiting the use of Blockchain • The future of blockchain and AML
10:20-10:50	Coffee break
SESSION 6: INTERNATIONAL SANCTIONS IN THE EU, EASTERN EUROPE AND THE CIS	
10:50-11:10	<p>Dealing with U.S. Correspondent Banks Scott Nance, <i>Consulting Counsel, Wiley Rein LLP</i></p> <ul style="list-style-type: none"> • How the world looks from a U.S. correspondent bank • What U.S. banks expect from you • Demonstrating your compliance system • Making U.S. correspondent banks your partners in compliance
11:10-12:15	<p>Roundtable Discussion Moderator: Robert Targ, <i>Partner at Diaz Reus & Targ LLP, USA</i> Participants: Tomáš Kozák, <i>Director, Common Foreign and Security Policy Department, Ministry of Foreign and European Affairs of the Slovak Republic</i> Martijn Feldbrugge, <i>Director, Business & Sanctions Consulting Netherlands</i> Dr. Gábor Hodosi, <i>Head of Compliance Units (Chief Compliance Officer), Hungarian Export-Import Bank Plc.</i> Jozefína Trnavská, <i>Head of Legal Department, Sberbank Europe AG</i> Nicolas Marinier, <i>Chief Compliance Officer, East-West United Bank S.A.</i></p>
12:15-12:20	Closing remarks
12:20	Standing lunch