

Anti-Money Laundering Conference

Business Challenges, Investigations/Enforcement Actions, and Practice Opportunities

Wednesday, November 20, 2013

Citi Conference Center
New York, NY

Also Available via Live Webcast



Keynote Speaker

Frederick Reynolds, JD
Deputy Director,
FinCEN



Luncheon Address

Richard Weber
Chief,
Criminal Investigation,
Internal Revenue Service

Hear the latest on these must-know topics:



- Bitcoin and Other Virtual Currencies
- Big Data Technology—Impact on Compliance
- Countermeasures to the Terrorist Financing Threat
- Offshore Tax Evasion and Money Laundering
- AML Auditing
- BSA/AML Practice Opportunities

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Anti–Money Laundering Conference

Business Challenges, Investigations/Enforcement Actions, and Practice Opportunities

Conference Program

7:45–8:30 a.m.

**Check-in, Continental Breakfast,
and Networking**

8:30–8:40 a.m.

Opening Remarks

Committee Chair:

Victor W. Lessoff, CPA, Acting Director, Criminal Investigations' Technology Operations and Investigative Services (TOIS) Section, *Internal Revenue Service*

Conference Chair:

Joseph P. Athy, CPA, MBA, CAMS

Conference Cochair:

Robert Goecks, MBA, CAMS, President, *Egris LLC*

8:40–9:30 a.m.

Keynote Address

Frederick Reynolds, JD, Deputy Director, *FinCEN*

The Deputy Director (the second highest official in FinCEN) will discuss recent financial regulations related to Anti–Money Laundering and Terrorist Financing.

9:30–10:20 a.m.

Virtual Currencies and Payment Systems

Moderator:

Clark Abrams, JD, Chief, Money Laundering and Financial Investigations Unit, Office of the Special Narcotics Prosecutor, *City of New York*

Panelists:

Scott Dueweke, Senior Associate, *Booz Allen Keith Miller, Esq., Partner, Perkins Coie LLP*
Anne Shere Wallwork, Senior Counselor, Strategic Policy, U.S. Treasury, *Office of Terrorist Financing and Financial Crimes (TFFC)*

It appears that virtual currencies and payment systems are here to stay. After generally discussing virtual currencies and virtual payment systems, this panel will explore the implications for CPAs and their clients, including the integration of virtual currencies and payment

systems into clients' businesses, current regulatory scrutiny, and potential disclosure and tax issues.

10:20–10:40 a.m.

Break

10:40–11:30 a.m.

Big Data Technology: The Impact on BSA/AML Compliance (Includes OFAC Considerations)

Moderator:

Victor W. Lessoff, CPA, Acting Director, Criminal Investigations' Technology Operations and Investigative Services (TOIS) Section, *Internal Revenue Service*

Panelists:

Corey M. Cardine, Senior Vice President, AML Systems, Technology and Data Integrity, *HSBC North America Holdings, Inc.*
Arthur D. Middlemiss, Partner, *Lewis Baach Pllc Kaufmann Middlemiss*
Haibo Zhang, Vice President, AML Risk and Analytics, *HSBC North America Holdings, Inc.*

A team of top experts from industry tackles key technology challenges in the context of BSA/AML.

(1 credit hour Advisory Services)

11:30 a.m.–12:20 p.m.

Terrorist Financing Threat

Moderator:

John Liguori, Supervisory Special Agent, *Federal Bureau of Investigation*

Panelists:

Celina Realyuo, Assistant Professor, National Security Affairs, William J. Perry Center for Hemispheric Defense Studies, *National Defense University*
Jane Rhodes-Wolfe, Acting Deputy Assistant Director, Terrorism Financing Operations Section, *Federal Bureau of Investigation*

Find out about the latest countermeasures that “put a hurt on” terrorist financing.

12:20–1:05 p.m.
Lunch

1:05–1:20 p.m.
Luncheon Address—IRS Current Agenda

Richard Weber, Chief, Criminal Investigation,
Internal Revenue Service

Mr. Weber will provide an IRS-CI update on
AML/CTF and related tax compliance issues.

1:20–2:10 p.m.
Offshore Tax Issues

Moderator:
Alan Abel, CPA, CFE, Global Anti–Money
Laundering (AML) Practice Leader,
Crowe Horwath International

Panelists:
Lawrence S. Horn, JD, Partner, *Sills Commis
& Gross P.C.*
Daniel W. Levy, Principal, *JD, McKool Smith*

Hear about offshore tax issues at the intersec-
tion of tax evasion and money laundering.
(1 credit hour Taxation)

2:10–3:00 p.m.
AML Auditing

Moderator:
Alan Abel, CPA, CFE, Global Anti–Money
Laundering (AML) Practice Leader,
Crowe Horwath International

Panelists:
Jack Sonnenschein, CPA, CA, CAMS, CFE,
Managing Director and Chief Auditor of
Compliance, *Citigroup*
Walter (Scott) Willis, Director, Compliance,
TIAA-CREF
William Badinelli, CIA, CFSA, CRMA, CAMS,
Managing Director–Audit, *JPMorgan Chase*

Get the internal auditor’s perspective on
areas such as BSA/AML risk assessments,
successes in working with regulators, and
AML testing.
(1 credit hour Auditing)

3:00–3:15 p.m.
Break

3:15–4:05 p.m.
Money Laundering—It’s a Crime!

Moderator:
Victor W. Lessoff, CPA, Acting Director,
Criminal Investigations’ Technology Opera-
tions and Investigative Services (TOIS)
Section, *Internal Revenue Service*

Panelists:
Gregory A. Coleman, Special Agent, *Federal
Bureau of Investigation*
Brian R. Crowell, Special Agent-in-Charge,
New York Field Division, *Drug Enforcement
Administration*
Lester M. Joseph, JD, Manager, Global Finan-
cial Crimes Intelligence Group, *Wells Fargo
& Company*

Leaders in BSA/AML investigations and prose-
cutions share their perspectives on the latest
developments in the field.

4:05–4:55 p.m.
BSA/AML Practice Opportunities

Moderator:
Eva Weiss, CPA, CFF, Director, Internal
Audit–Forensic and Special Investigations,
TIAA-CREF

Panelists:
Robert Abreu, CAMS, Senior BSA/AML Con-
sultant, *Crowe Horwath LLP*
Jeffrey Sklar, CPA, CFF, CGMA, CAMS, CFS,
Managing Partner, *Sklar Heyman Hirshfield &
Kantor, LLP*
Jack Sonnenschein, CPA, CA, CAMS, CFE,
Managing Director and Chief Auditor of Com-
pliance, *Citigroup*

Hear from practitioners and gain an under-
standing of key considerations in BSA/AML
such as independent testing, pitfalls experi-
enced, business development, and career
paths.
(1 credit hour Advisory Services)

4:55–5:00 p.m.
Closing Remarks

Committee Chair:
Victor W. Lessoff, CPA, Acting Director, Crimi-
nal Investigations’ Technology Operations and
Investigative Services (TOIS) Section, *Internal
Revenue Service*

Conference Chair:
Joseph P. Athy, CPA, MBA, CAMS

Agenda and speakers are subject to change. For the latest updates, including full speaker bios,
visit www.nysscpa.org/AML13.



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Fill out the registration form on the back panel and mail back to us

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Online at www.nysscpa.org/e-cpe

By phone at (877) 880-1335

REGISTER FOR THIS CONFERENCE

Registration Information: All registrations must be received 14 days prior to the event in order to guarantee a seat and course materials. Allow approximately 14 days for your return confirmation. Registrants who do not receive their e-mailed confirmation before the conference must call FAE Registration to confirm registration status. Individuals who have not registered before the 14-day cutoff must call to determine space availability. Advance paid registrants will be seated first. For space availability and registration information, call FAE Registration during business hours.

Program Details: Wednesday, November 20, 2013. Program begins at 8:30 a.m. and ends at 5:00 p.m. (Check-in begins at 7:45 a.m.)

Payment Information: Payment may be made by check or may be charged to American Express, MasterCard, Visa, or Discover. Credit card information must accompany all fax, phone, and online registrations.

Special Requirements: Participants with special requirements should notify FAE staff at least 14 days in advance of the program.

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This is a paperless event. Course materials will be available in electronic PDF format only. Within five days of the event, you will be e-mailed a link to your online events hosting account. From there, you may download the program materials for the upcoming event, then choose to save the file(s) to your computer or print them out.

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Letter from the Chairs



Victor W. Lessoff, CPA



Joseph P. Athy, CPA,
MBA, CAMS

Dear Colleagues:

Please join us at the 2013 **Anti-Money Laundering Conference**. The theme of this year's conference is three-fold: Business Challenges, Investigations/Enforcement Actions, and Practice Opportunities.

This year's event will feature some of today's most distinguished financial professionals who will present on key issues and provide related practical solutions for challenges faced with anti-money laundering regulatory issues. We are pleased to present keynote speaker Frederick Reynolds, the Deputy Director of FinCen, and luncheon speaker, Richard Weber, Chief of Criminal Investigations at the Internal Revenue Service, as well as representatives from the IRS, the FBI, the U.S. Treasury Department, and many other distinguished practitioners.

The day's events will be filled with informative panel discussions, including—

- Big Data Technology
- Counter Measures to Terrorist Financing
- Offshore Tax Issues
- Compliance, Compliance, Compliance

I encourage you to be present at this must-attend conference for all professionals with Bank Secrecy Act responsibilities. I would also like to ask that you encourage your colleagues and contacts to consider attending this important event as well.

I look forward to greeting you at the conference.

Victor W. Lessoff, CPA

Anti-Money Laundering and Counter-Terrorist Committee Chair

Joseph P. Athy, CPA, MBA, CAMS

Anti-Money Laundering Conference Chair

P.S. Conference good for 8 CPE credits, 7 CAMS credits, and (pending) 8 CFE credits.

Register now at www.nysscpa.org/AML13.

Who Should Attend? CPAs, lawyers, insurance providers, banks and savings institutions, securities firms, money managers, investment advisors, broker/dealers, financial principals, financial officers, and financial planners with Bank Secrecy Act responsibilities.

Why You Should Attend: To gain knowledge of compliance with applicable Bank Secrecy Act and related anti-money laundering regulatory issues.

Program Details:

Time: 8:30 a.m.–5:00 p.m. (Check-in begins at 7:45 a.m.)

Sponsoring Committee: Anti-Money Laundering and Counter-Terrorist Financing Committee, NYSSCPA

Sponsoring Committee Chair: Victor W. Lessoff, CPA, Acting Director, Criminal Investigations' (IRS-CI) Technology Operations and Investigative Services (TOIS) Section, *Internal Revenue Service*

Conference Chair: Joseph P. Athy, CPA, MBA, CAMS

Conference Cochair: Robert Goecks, MBA, CAMS, President, *Egris LLC*

Conference Planning Committee: Colette Lespérance, MBA, CFE, EA, President, *L&L Group, Inc.*; Sean O'Malley, CPA, CFE, Vice President, Deputy Chief Investigator for Enforcement, *Federal Reserve Bank of New York*

Recommended CPE Credit Hours: 8: 2 credits Advisory Services; 1 credit Auditing; 4 credits Specialized Knowledge and Applications; 1 credit Taxation; (pending) 8 CFE credits

Recommended CAMS Credit Hours: 7

Course Code: 25130411 (In-Person); 35130411 (Live Webcast)

Member Fee: \$385 (In-Person); \$285 (Live Webcast)

Nonmember Fee: \$510 (In-Person); \$410 (Live Webcast)

For full program details and for FAE registration policy, please visit www.nysscpa.org/AML13.



14 Wall Street
19th Floor
New York, NY
10005

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388 Greenwich Street
3rd Floor
New York, NY 10013

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7:45 a.m.)

Course Code: 25130411 (In-Person);
35130411 (Live Webcast)

**Mail this registration form along with
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