08:00 – 09:00
Registration

09:00 – 09:15
Welcome

Samantha Pelosi
Senior Vice President, Payments & Innovation
BAFT

Emmanuel Givanakis
Executive Director, Legal & Enforcement
Financial Services Regulatory Authority
Abu Dhabi Global Market

09:15 – 09:30
Introduction/Workshop Overview

Speaker
Bhavin Shah
Partner, Financial Advisory
Deloitte

09:30 – 11:30
Sanctions

Learning objective: This section will explain the evolution of economic sanctions programs, which have become more complex over time, and offer strategies to protect against inadvertent and deliberate evasions of sanctions regime requirements, as well as consider controls to mitigate the risk of sanctions breaches.

A. Comprehensive sanctions, SDNs and sectoral sanctions
B. EU v. US sanctions against Russia, Iran
C. Governance and controls
   1. Training and awareness
   2. Testing
   3. Accountability

11:30 – 11:45
Networking Coffee Break

11:45 – 12:30
AML National Risk Assessment (NRA)

Learning objective: This section will explain the importance of AML National Risk Assessment as key process and document to prepare for FATF Mutual Evaluation Assessment, and steps to conduct a proper assessment.

A. Conducting AML NRA and FATF NRA guidance:
   1. Preparation
   2. Identifying threats and vulnerabilities
   3. Analysis and evaluation, drafting NRA report and conclusions
B. Lessons learned

12:30 – 13:30
Networking Lunch

13:30 – 14:30
Correspondent Banking: Customer Risk Rating and Due Diligence

Learning objective: This session will help bankers and compliance personnel understand the regulatory requirements regarding customer identification and due diligence.

A. Initial
B. Event driven and periodic refresh
C. When do you have to know your customer’s customer?

14:30 – 15:30
Correspondent Banking: Transaction Monitoring

Learning Objective: This section will explain recent developments in governance and optimization of automated transaction monitoring systems for both AML/CFT and sanctions compliance, as well as the importance of the client name screening.

A. Governance of your automated system
B. Optimization – a combination of systems, processes and people
C. Detection scenarios and case studies

15:30 – 15:45
Networking Coffee Break

15:45 – 16:15
Correspondent Banking: De-risking

Learning Objective: This section will cover what’s happening in the industry, with special focus on the region, resulting in de-risking of accounts.

A. Industry overview
B. Restricting or closing an account

16:15 – 17:00
Correspondent Banking: Respondents’ Playbook

Learning Objective: During this session, you will learn about the new BAFT Respondents’ Playbook. The playbook documents expectations of correspondent banks and best practices for respondent banks, which if properly implemented, should result in new or retain existing relationships.
Emmanuel Givanakis  
Executive Director, Legal & Enforcement  
Financial Services Regulatory Authority Abu Dhabi Global Market  

Mr. Emmanuel Givanakis is the Executive Director of the Legal and Enforcement Division the Financial Services Regulatory Authority (FSRA) at Abu Dhabi Global Market (ADGM). Under this division, he oversees the Legal & Policy and Enforcement teams for the financial services regulator. Since joining ADGM in October 2015, as the Head of Policy & Legal, he oversaw the establishment of ADGM's legislative framework, which was a pivotal step in the creation of ADGM as an international financial centre. In addition to leading the policy and legal functions, he has recently taken responsibility for the enforcement function of the regulator and promoted to the position of Legal & Enforcement Executive Director. Prior to joining ADGM, Mr. Givanakis held a number of senior legal positions in both Australia and the UAE, including senior legal positions at the Dubai Financial Services Authority (DFSA) and the Australian Securities and Investments Commission.

Samantha Pelosi  
Senior Vice President, Payments & Innovation  
BAFT  

Ms. Samantha Pelosi has accumulated nearly 20 years of legal and regulatory experience in payments, compliance, and international business transactions. She recently joined BAFT as its Senior Vice President, Payments and Innovation to drive the organization’s activities in payments, innovation, financial crime, and cybersecurity. Previously, she held several positions at The Board of Governors of the Federal Reserve System. She was Manager of the Retail Payments Section of the Reserve Bank Operations and Payment Systems Division from 2011-2016 and Senior Attorney of the Regulation Section of the Consumer & Community Affairs Division from 2009-2011.

Bhavin Shah  
Partner, Financial Advisory  
Deloitte  

Mr. Bhavin Shah is a Partner in Deloitte’s Financial Services Regulatory Advisory with over a decade of management consulting experience working with banks, sovereign funds, capital markets, insurance companies, asset management companies, and regulators in Asia, the Middle East, Africa and Europe. He is partner in-charge for lead Financial Crime Compliance practice for Deloitte in MENA. He is a senior advisory professional and trusted advisor, having worked on regulatory compliance, anti-money laundering, operational due diligence, enterprise risk management, large-scale transformation and performance monitoring and improvement.

Mohamed Jawad Shalo  
Head of Financial Crime Prevention Unit  
Financial Services Regulatory Authority Abu Dhabi Global Market  

Mr. Mohamed Shalo joined Financial Services Regulatory Authority (FSRA) of Abu Dhabi Global Market (ADGM) in November 2015. As Head of the Financial Crime Prevention Unit (FCPU), he oversees the team’s responsibility in fostering financial crime compliance and practices, including AML, CFT, sanctions, international tax reporting requirements, cyber security, across ADGM. Mr. Shalo is supporting ADGM in the upcoming FATF mutual evaluation assessment in the UAE and also represents ADGM in various federal and local committees in the national risk assessment exercise.
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