Learning objective: A workshop for transaction banking business and compliance personnel to understand important regulatory requirements and developments in combating financial crime, with an emphasis on governance and accountability.

10:00 – 11:00
Customer Due Diligence
Alma Angotti
BAFT Workshop Trainer
Managing Director, Global Investigations & Compliance
Navigant

Learning objective: This session will help bankers and compliance personnel to understand the regulatory requirements regarding customer identification and due diligence, the responsibility of the “first line of defense” to identify and mitigate customer risk, and recent regulatory developments.

A. Initial customer due diligence and risk rating (AML CDD & EDD, sanctions)
B. Event driven and periodic refresh of information
C. Recent developments
   1. Beneficial ownership
   2. EU 4th and 5th Directives
D. Special concerns
   1. Trade based money laundering
   2. Bribery and corruption (PEPs)
   3. Shell companies and tax evasion (Panama Papers and FATCA)

11:00 – 11:15
Networking Coffee Break

11:15 – 12:30
Transaction Monitoring
Alma Angotti
BAFT Workshop Trainer
Managing Director, Global Investigations & Compliance
Navigant
Nishanth Nottath
Regional Head AML (MEWA and Turkey) and Interim Global Head – Transaction Monitoring
HSBC Bank Middle East Limited

Learning objective: This session will explain recent regulatory developments in governance and optimization of automated transaction monitoring systems for both AML/CFT and sanctions compliance.

A. Governance of your automated system
B. NYDFS Rule 504 & Model Validation
C. Optimization – a combination of systems, processes and people
D. Detection scenarios and case studies

12:30 – 13:30
Networking Lunch

13:30 – 15:00
Correspondent Banking
Alma Angotti
BAFT Workshop Trainer
Managing Director, Global Investigations & Compliance
Navigant

Learning objective: This section will describe current international standards (FATF) and supervisory expectations (BCBS) for correspondent banking and how correspondents and respondents can meet these expectations in an efficient and cost-effective way.

A. Customer due diligence and risk rating
   1. Initial CDD/EDD and risk rating
   2. Event driven and periodic refresh of information
B. When do you have to know your customer’s customer?  
C. Restricting or closing an account

15:00 – 15:15
Networking Coffee Break

15:15 – 16:15
Sanctions
Alma Angotti
BAFT Workshop Trainer
Managing Director, Global Investigations & Compliance
Navigant
Tim O’Neal Lorah, Esq.
Senior Director
Navigant

Learning objective: This session 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.

A. Comprehensive sanctions, SDNs and sectoral sanctions
B. EU v. US sanctions against Iran
C. Sanctions in trade finance
D. Governance
   1. Training and awareness
   2. Testing
   3. Accountability

16:15 – 16:30
Wrap Up/Closing Remarks
Alma Angotti
BAFT Workshop Trainer
Managing Director, Global Investigations & Compliance
Navigant

Workshop Trainer
Alma Angotti
Managing Director
Navigant

Ms. Alma Angotti is a Managing Director in the Global Investigations & Compliance practice. A widely recognized anti-money laundering (AML) expert, she has trained and advised the financial services industry as well as other regulators and government officials worldwide on AML and combating the financing of terrorism (CFT) compliance. She has an extensive background as an enforcement attorney conducting investigations and litigating a variety of enforcement actions. Ms. Angotti has counseled her clients, large global financial institutions as well as regional institutions, in a variety of projects, including gap analyses, compliance program reviews, risk assessments, remediation efforts, and transaction reviews. Recently, she held acting senior AML compliance leadership positions at several global and regional financial institutions providing day-to-day management of their compliance programs and assisting them with implementing enhancements, often in the context of a regulatory or criminal enforcement action.

Guest Speakers
Mark Compton
Partner
Mayer Brown International LLP

Mr. Mark Compton is a partner in the Financial Services Regulatory & Enforcement practice of the London office. The Legal 500 UK directory has also praised his “fantastic knowledge” and his “very clear” advice. Mr. Compton advises a wide range of clients on all aspects of UK and EU financial services legislation and on legislation and systems and controls relating to bribery, money laundering and economic sanctions. Prior to joining Mayer Brown in 2011, he was senior regulatory lawyer at BP plc and previously spent over five years in Enforcement and General Counsel’s Divisions at the UK’s Financial Services Authority. Mark has been interviewed and quoted frequently on Brexit-related issues in both US and UK media.

Nishanth Nottath
Regional Head AML (MEWA and Turkey) and Interim Global Head – Transaction Monitoring
HSBC Bank Middle East Limited

Mr. Nishanth Nottath is a regional financial crime risk management professional with 19 years overall experience covering Audit, Consulting, Manufacturing, Services, Forensic Consulting and Banking, leading large teams covering AML governance, surveillance (monitoring) operations covering Middle East, Africa and global remit. At HSBC Bank Middle East, he heads a regional team of 40+ staff covering AML Policy, Governance, Projects and Investigations in the MENA and Turkey region. Passionate about technology in the AML space, he is a keen observer of DLT and its potential in fighting financial crime sustainably and is a member of the first AML project in the TBLM, space at R3 CEV. Experience in AML, Sanctions, Governance, Surveillance operations, Regulatory relationship (including US, UK, Middle East and Monitor), project and cost-centre management / oversight.

Tim O’Neal Lorah, Esq.
Senior Director
Navigant

Mr. Tim O’Neal Lorah has over 17 years of experience in the financial crime compliance arena, having served as a Managing Director and Global Head of Anti-Money Laundering and Financial Crime Compliance at both Morgan Stanley and Barclays (as CF11). In his in-house roles, Mr. Lorah led the strategic direction, oversight and coordination of the global financial crime program across U.S. and non-U.S. regulatory agencies, law enforcement and external bodies worldwide on matters relating to anti-money laundering, economic sanctions, anti-bribery and corruption and financial crime compliance.

David Scola
Global Head of Banks - Financial Institutions Group
Barclays

Mr. David Scola is a Managing Director and Global Head of Banks Origination for Barclays Corporate. He joined Barclays in New York in 2011 to manage Banks Coverage for the Americas for Barclays Corporate. Mr. Scola has a wealth of experience in the financial institutions space, most recently at Deutsche Bank where he spent 12 years in a range of roles including Product and Strategic Development in the Global Transaction Bank. He has extensive experience in a range of transaction banking including Cash Management, Custody, securities Lending and Corporate Trust.

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