

HIGH - LEVEL WORKSHOP ON AML/CFT COMPLIANCE

BUILDING CULTURE OF COMPLIANCE AND EFFECTIVE PUBLIC-PRIVATE PARTNERSHIPS TO PREVENT FINANCIAL CRIME

NOVEMBER 8, 2017

LATVIJAS BANKA, 1B K. VALDEMARA STREET, RIGA

REGISTRATION/COFFEE

8:30 - 9:00

WELCOME AND
INTRODUCTIONS

9:00 - 9:10



SANDA LIEPIŅA

Chairman of the Management Board, Association of Latvian Commercial Banks



ANGELA SALTER

Head of Europe, ACAMS

SESSION I

“TONE FROM THE TOP” AND
CULTURE OF COMPLIANCE

9:10 - 10:15



RICK MCDONELL

Executive Director, ACAMS, Former Executive Secretary of FATF



RICHARD F. CHAMBERS

President and CEO, The Institute of Internal Auditors



MARIE LUNDBERG

Co-chair, ACAMS Nordics Chapter CEO, ACRONYM Consulting AB



LAURIS LIEPA

Managing Partner, COBALT Latvia



ALMA ANGOTTI

Managing Director, Navigant

COFFEE

10:15 - 10:45

SESSION II

EFFECTIVE PUBLIC AND PRIVATE SECTOR PARTNERSHIP TO COMBAT FINANCIAL CRIME

10:45 - 12:00



RICK MCDONELL

Executive
Director,
ACAMS,
Former Executive
Secretary of
FATF



MARIE LUNDBERG

Co-chair,
ACAMS Nordics
Chapter
CEO, ACRONYM
Consulting AB



ANDERS B. JENSEN

Managing
Director Europe &
Middle East,
Confirmation.com



ANNA SOLOVEVA

Senior AML
Subject Matter
Expert, ACAMS



JACOB THOMPSON

Market
Development
Manager for Risk
in Europe North,
Thomson Reuters

CLOSING REMARKS

12:00 - 12:15



SANDA LIEPIŅA

Chairman of the Management Board,
Association of Latvian Commercial Banks

NETWORKING/COFFEE

12:15 - 13:00

Organizer:



Facilitator:

ACAMS

In partnership with:

C O B A L T



NAVIGANT



SPEAKERS



ANGELA SALTER

Head of Europe, ACAMS

Angela Salter joined ACAMS in 2015 to lead the organisation's development across Europe and the CIS region.

A senior commercial executive with a strong track record in international market development, Salter has spearheaded the growth of several global businesses serving the international financial services community in leadership roles with organisations including Thomson Reuters, Hoppenstedt Bonnier, Moody's and Financial Times.

Since joining ACAMS Salter has overseen rapid growth in ACAMS Membership throughout Europe, launched CAMS in French and German, expanded live training across the continent and established new ACAMS Chapters in Cyprus, Germany, Ireland and the Nordics alongside France, Netherlands and United Kingdom.

Highly rated for market insight, innovation and commercial nous founded in integrity Salter is widely respected as a builder of sustainable, mutually beneficial business relationships for customers and partners.



RICK MCDONELL

Executive Director and Member of the Advisory Board, ACAMS, Former Executive Secretary of FATF

Rick McDonnell is currently the executive director for ACAMS and a member of the ACAMS Advisory Board.

McDonnell has many years of direct experience working with regional bodies, which gives him a unique global perspective on anti-money laundering and financial crime challenges. He is also a part time Adjunct Professor of Law at Case Western Reserve University in the USA, is an advisor to SIGA, the Sports Integrity Global Alliance and is a member of the Advisory Board of a public private partnership led by HSBC aimed at improving mechanisms for information sharing between governments and the private sector.

Rick was the Executive Secretary of FATF from 2007 until 2016. Under his leadership, FATF revised its standards to include the assessment of effectiveness and developed a new standardized country assessment methodology and the FATF Global Network expanded to nine FATF-style regional bodies comprising a total of 198 jurisdictions. Prior to that he worked for the United Nations Office on Drugs and Crime where he was Chief of the U.N. Global Programme on Money Laundering. Previously, he established the Asia-Pacific Group on Money Laundering and became its first Executive Secretary.

He is a lawyer by training and has had extensive experience as a federal prosecutor and in conducting complex investigations, including being in charge of many multidisciplinary investigation task forces into organised crime cases both nationally and internationally. He also has had experience in private legal practice and as a university lecturer.

SPEAKERS



RICHARD F. CHAMBERS

President and CEO, The Institute of Internal Auditors

Richard F. Chambers, CIA, QIAL, CGAP, CCSA, CRMA, is president and CEO of The Institute of Internal Auditors (IIA), the global professional association and standard-setting body for internal auditors. Chambers has more than four decades of internal audit and association management experience, mostly in leadership positions. Prior to taking the helm of The IIA in 2009, he was national practice leader in Internal Audit Advisory Services at PricewaterhouseCoopers; inspector general of the Tennessee Valley Authority; deputy inspector general of the U.S. Postal Service; and director of the U.S. Army Worldwide Internal Review Organization at the Pentagon. He currently serves on the Committee of Sponsoring Organizations of the Treadway Commission (COSO) Board of Directors; the International Integrated Reporting Council (IIRC); and The IIA Board of Directors. Previously, he served on the U.S. President's Council on Integrity and Efficiency; the Audit Board of the City of Orlando, Fla.; The IIA Internal Audit Standards Board; and The IIA North American Board.

Chambers received the Association of Government Accountants (AGA) Frank Greathouse Distinguished Leadership Award and the National Association of Black Accountants (NABA) Legacy Award. Accounting Today has named him one of the Top 100 Most Influential People in Accounting, as well as one of 10 tweeters worth following. The National Association of Corporate Directors (NACD) has named him one of the most influential leaders in corporate governance since 2013. In 2016, Chambers was honored by American City Business Journals' Orlando Business Journal as a top CEO of the Year.

Chambers authored the award-winning book, *Lessons Learned on the Audit Trail*, which is currently available in five languages, and has a new book, *Trusted Advisors: Key Attributes of Outstanding Internal Auditors*.



MARIE LUNDBERG

*Co-chair, ACAMS Nordics Chapter
CEO, ACRONYM Consulting AB*

After 23 years within the Financial Sector, Marie Lundberg founded Acronym Consulting AB in August 2017. The company specializes in Anti Financial Crime (AFC), Anti Bribery and Corruption (ABC), Anti Money Laundering (AML) and Counter Terrorism Financing (CTF), Know Your Customer-processes (KYC) including, PEP, UBO and Sanctions along with management reporting as well as reporting to FIU's and FSA's.

Marie Lundberg is a firm believer of using analytics and the importance of knowing and understanding your data, as well as your customers. Awareness, a solid risk management program and education is in her opinion one of the keys to combat financial crime.

She has extensive international experience, working mainly in the Nordics and Europe. In 2015 Marie Lundberg, along with her fellow board members founded the ACAMS Nordics Chapter, which she since then co-chairs. Marie Lundberg is also a Certified Fraud Examiner by ACFE as well as a public speaker and thought leader in this area.

SPEAKERS



ALMA ANGOTTI

Managing Director, Navigant

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. Ms. Angotti 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, Alma held interim 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.

With over 25 years of regulatory practice, Ms. Angotti has held senior enforcement positions at the SEC, Treasury's Financial Crimes Enforcement Network (FinCEN) and FINRA (Financial Industry Regulatory Authority). At FINRA, Ms. Angotti served as a Regulatory Expert for Anti-Money Laundering and had primary responsibility for FINRA's anti-money laundering policy and its enforcement of the Bank Secrecy Act and FINRA and SEC AML rules. Ms. Angotti joined FinCEN to design, implement and lead the agency's Bank Secrecy Act enforcement program. She brought enforcement actions against many different types of financial institutions subject to FinCEN's jurisdiction, including Riggs National Bank, Western Union, Korea Exchange Bank and several casinos. She also drafted proposed and final anti-money laundering regulations for securities broker-dealers, banks, hedge funds and investment advisors.

Prior to joining FinCEN, Ms. Angotti investigated and prosecuted a variety of civil enforcement actions as a Senior Counsel in the Division of Enforcement of the SEC, including matters alleging insider trading and financial and accounting fraud. In the Division's Office of Chief Counsel, she was responsible for a wide range of policy matters and advised SEC regional staff on enforcement actions and settlements prior to submission to the Commission for approval.



ANDERS B. JENSEN

*Managing Director Europe & Middle East,
Confirmation.com*

Anders Jensen is the Managing Director for Confirmation.com's business in Europe & Middle East and the general manager of its London office. A seasoned banker with over 18 years of experience in investment banking, financial technology (Fintech), senior sales in the UK, Continental Europe and Middle East. Previously Anders Jensen has held senior level positions in global banks like BNP Paribas, Fortis Bank and Lloyds Bank.

SPEAKERS



LAURIS LIEPA

Managing Partner, COBALT Latvia

Lauris Liepa is the Managing Partner of COBALT Latvia and is recognized to be a noted practitioner in banking and finance, M&A, litigation and constitutional law. In the course of his legal practice extending over 20 years, Lauris has advised major local and international corporate clients, managing major M&A (including sale and purchase of banks) and foreign investment deals as well as providing assistance in capital markets transactions. He takes an active involvement in the Latvian Venture Capital Association, is a member of the Supervisory Committee of NASDAQ OMX Riga and since 2011 is also a member of the supervisory board of the Arbitration Court of the Latvian Chamber of Commerce and Industry.



ANNA SOLOVEVA

Senior AML Subject Matter Expert, ACAMS

Anna Soloveva joined ACAMS as an AML Subject Matter Expert in October 2017 from HSBC where she advised the business on international sanctions compliance across all lines of business. Prior to this Anna was an MLRO with a fintech company and held a number of roles at the European Bank for Reconstruction and Development, including in the bank's Financial Crime project advisory and its Accountability Mechanism. In her career Anna travelled extensively across CIS and engaged with stakeholders including NGOs, government officials and MDB practitioners on issues of good governance, sustainable development and community access to recourse. Anna holds an LLM, BA Honors and an advanced AML certification.



JACOB THOMPSON

Market Development Manager for Risk in Europe North, Thomson Reuters

Jacob Thompson is the Head of Market Development in Europe at Thomson Reuters.

In his current role, Jacob is responsible for driving Thomson Reuters go-to-market strategy for Risk Business, including enterprise risk, corporate governance, customer and third party risk, and regulatory compliance, where he helps to shape the business direction acting as the "voice of the customer".

Previously, Jacob was leading Thomson Reuters Governance, Risk and Compliance Sales for UK Financial Services. He has been in the Business Information industry for over 20 years. An early embracer of technology, he worked on the automation of the London Stock Exchange in 1997 and launched the Dow Jones (Factiva) news API in 2002 before pursuing a successful career in technical solution sales and sales leadership. Graduating with a BEng in Manufacturing Engineering from University of Bath, Jacob started his early career working on robotics and automation at P&G and Unilever, before being drawn to the glamour of financial markets just in time to observe the crash of the internet bubble in 2001.

SPEAKERS



SANDA LIEPIŅA

*Chairman of the Management Board,
Association of Latvian Commercial Banks*

Sanda is an experienced manager in an international setting with the proven strategic, business development and execution abilities.

For almost 20 years Sanda has designed, implemented and assessed policies and institutional reforms to improve economy wide or sector specific competitiveness. While working for the International Finance Corporation and World Bank Group, Sanda gained an extensive knowledge of financial sector policy landscape and investment climate in Europe and Central Asia, and in East Asia and Pacific. In the position of State Secretary in The Ministry of Education and Science Sanda was responsible for overall management and policy reform at a crucial reform design and execution stage.

Since January 2017 Sanda Liepiņa is Chairman Of The Executive Board at the Association of Commercial Banks of Latvia. She holds a professional degree in Law and a Master of Public administration with concentration in Finance and Economic Policy management; she was a Fulbright Scholar.