



American Conference Institute's 4th Annual Forum on

AML & OFAC Compliance for the Insurance Industry

Avoiding Costly Sanctions and Ensuring Compliance in an Era of Heightened Scrutiny and Enhanced Regulatory and Enforcement Initiatives

January 21–22, 2014 | The Carlton Hotel | New York, NY

Obtain valuable compliance strategies and best practices from:

- David Brummond *(Invited)*
OFAC
- John Hughes
U.S. Department of State
- Sharon Levin
U.S. Attorney's Office, Southern District of NY
- Duncan Levin
NY County District Attorney's Office
- Seetha Ramachandran
U.S. Department of Justice
- Meryl Lutsky
Office of the NY State Attorney General
- Evan Weitz
U.S. Attorney's Office, District of NJ
- Elizabeth Loewy
NY County District Attorney's Office
- Stephen Shine
Prudential
- Damian Sepanik
Zurich North America
- Robert Walsh
AXA Group
- Brent Kessler
SCOR
- Brian Mannion
Nationwide
- Steve Mulligan
HSBC
- Jonathan Matthews
MetLife
- Inna Tsimmerman
Marsh & McLennan
- Laura Notes-Heeger
MetLife
- Lisa Tate
American Council of Life Insurers (ACLI)
- Richard Kinville
Prudential
- Ben Omorogbe
Travelers
- Chris Szafranski
Northwestern Mutual
- Henry French
XL Group
- Jennifer Annala
Pacific Life
- Jerry Danielson
Lincoln Financial
- Debra Herness
Prudential
- Tracy Woodrow
M&T Bank
- John Hodgens, Jr.
Manulife Financial/ John Hancock Financial
- Joan Selvig
Zurich North America

Our unparalleled faculty will provide you with expert advice and key insights for:

- **Perspectives from OFAC, the Department of State, the DOJ, the U.S. Attorney's Office, the Office of the NY State Attorney General, and other federal and state agencies** that govern the insurance and reinsurance industries: **hear directly from the regulators** as they weigh in on enforcement trends, how they use the information provided to them by insurance and reinsurance companies, new and emerging "red flags", examinations, their expectations of the insurance and reinsurance industries, and more
- **Complying with Iranian sanctions at both the state and federal levels:** an in-depth exploration of sanctionable activities tied to Iran as they relate to both U.S. and non-U.S. insurers and reinsurers, responding to state and federal government requests for information, and best practices for mitigating exposure to Iranian sanctions and ensuring compliance with new and emerging regulations
- **Examining critical anti-money laundering hurdles facing the insurance industry:** assessing new and emerging money laundering trends and ensuring that your AML program is in compliance with the evolving regulatory paradigm
- **What insurance and reinsurance companies must do to avoid sanctions and ensure compliance:** developing and implementing best practices to avoid engaging in sanctionable activity, ensuring compliance with new and emerging regulations, and managing conflict of law issues
- **Conducting effective internal investigations** into potential money laundering activity, fraud, sanctions violations, or FCPA violations
- **Benefiting from convergence:** streamlining your AML, fraud prevention, OFAC, and FCPA programs and leveraging existing resources to increase efficiency and reduce costs
- **Preparing for an increase in the scope, coordination, and frequency of state insurance department examinations and implementing effective internal and external auditing procedures**
- **SARs, KYC protocols, CIPs, and information sharing:** detecting and reporting potential laundering or fraudulent activities and overcoming the challenges of identification, including cases involving potential elder exploitation

Enhance your attendance by registering for the **Benchmarking Working Group:**
Benchmarking Your AML and OFAC Compliance Initiatives – Identifying Industry Best Practices and Incorporating Them Into Your Compliance Programs

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Be a part of the nation's premier forum devoted entirely to AML and OFAC compliance for the insurance and reinsurance industries and obtain the key insights and strategic knowledge that are needed to avoid costly sanctions and to ensure compliance with the evolving regulatory and enforcement paradigm.

The insurance and reinsurance industries are facing heightened regulatory and enforcement scrutiny at both the state and federal levels. Nowhere is this more evident than in the areas of AML and OFAC compliance. It is absolutely essential that those responsible for developing, implementing, and monitoring AML and OFAC compliance programs for insurance and reinsurance companies **keep abreast of industry best practices as well as new and emerging state and federal regulatory requirements.** However, while insurance and reinsurance companies must remain compliant or risk severe sanctions and penalties, they have not received much guidance with respect to how best to achieve compliance.

Building on the incredible success of our first three events and in response to demand from the market, **American Conference Institute** has developed the **4th Annual Forum on AML and OFAC Compliance for the Insurance Industry** specifically to address the unique challenges facing insurance and reinsurance companies. Our unparalleled faculty of high-level state and federal regulatory and enforcement officials, AML/OFAC compliance experts from industry leaders, and experienced outside counsel will provide you with best practices and proven strategies for:

- Evaluating your current AML and OFAC programs and **identifying potential pitfalls, areas of concern, and compliance gaps**
- Striking the appropriate balance between **increasing efficiency while maintaining the integrity of your compliance programs**
- **Conducting accurate and effective AML risk assessments** and implementing appropriate controls in response to an AML risk assessment
- Employing **automated monitoring** systems, technological applications, and vendors to **enhance your AML and OFAC compliance programs** on a national and international basis

PLUS, add value to your attendance by also registering for the Benchmarking Working Group:

Benchmarking Your AML and OFAC Compliance Initiatives – Identifying Industry Best Practices and Incorporating Them Into Your Compliance Programs

January 22, 2014 | 1:00 p.m. – 3:00 p.m.

Register now by calling 888-224-2480 or faxing your registration form to 877-927-1563. You can also register online at www.AmericanConference.com/AMLOFAC

Who You Will Meet

- **Regulatory and enforcement officials**
- **In-house counsel and compliance professionals at insurance and reinsurance companies, with responsibility for:**
 - AML compliance
 - OFAC compliance
 - FCPA compliance
 - Global sanctions
 - Fraud prevention
 - Internal audits
 - Regulatory matters
- **Private practice attorneys specializing in:**
 - Insurance and reinsurance
 - AML
 - OFAC
 - FCPA
 - Compliance and regulation

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With more than 500 conferences in the United States, Europe, Asia Pacific, and Latin America, **American Conference Institute (ACI)** provides a diverse portfolio devoted to providing business intelligence to senior decision makers who need to respond to challenges spanning various industries in the US and around the world.

As a member of our sponsorship faculty, your organization will be deemed as a partner. We will work closely with your organization to create the perfect business development solution catered exclusively to the needs of your practice group, business line or corporation.

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Head of Sales, American Conference Institute
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w.tyler@AmericanConference.com

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Questions about CLE credits for your state? Visit our online CLE Help Center at www.americanconference.com/CLE

Day 1: Tuesday, January 21, 2014

7:30	Registration and Continental Breakfast
8:00	Co-Chairs' Opening Remarks <hr/> <i>Richard W. Kinville II, CAMS</i> Vice President, Anti-Money Laundering Officer Prudential Financial
	<i>Damian V. Sepanik</i> Chief Compliance Officer Zurich North America
8:05	KEYNOTE ADDRESS: U.S. Sanctions Compliance for the Insurance and Reinsurance Industries <hr/> <i>David J. Brummond (Invited)</i> Senior Sanctions Advisor – Insurance Office of Foreign Assets Control (OFAC) U.S. Treasury Department
8:45	Regulatory and Enforcement Roundtable: Perspectives from the Department of State, the DOJ, the U.S. Attorney's Office, the Office of the New York State Attorney General, and Other Federal and State Agencies That Govern the Insurance Industry <hr/> <i>John W. Hughes</i> Iran Sanctions Team Chief U.S. Department of State
	<i>Sharon Cohen Levin</i> Chief, Asset Forfeiture Unit U.S. Attorney's Office, Southern District of New York
	<i>Duncan Levin</i> Chief, Asset Forfeiture Assistant District Attorney New York County District Attorney's Office
	<i>Seetha Ramachandran</i> Deputy Chief, Asset Forfeiture and Money Laundering Section U.S. Department of Justice
	<i>Meryl Lutsky</i> Chief, Money Laundering Unit Crime Proceeds Strike Force Office of the New York State Attorney General
	<i>Evan Weitz</i> Assistant United States Attorney U.S. Attorney's Office, District of New Jersey
	<i>Elizabeth Loewy</i> Assistant District Attorney Chief, Elder Abuse Unit Special Victims/Special Prosecutions Bureau New York County District Attorney's Office
	Moderators:
	<i>Stephen J. Shine</i> Chief Regulatory Counsel Prudential Financial
	<i>Betty Santangelo</i> Schulte Roth & Zabel LLP

In this moderated panel session, you will have the opportunity to participate in a Q&A session with regulatory and enforcement officials from the key federal and state agencies that oversee the insurance industry. You will not want to miss this unprecedented opportunity to have your most pressing regulatory and compliance questions answered by our panel of experts as they weigh in on enforcement trends, how they use the information provided to them by insurance and reinsurance companies, new and emerging "red flags", examinations, their expectations of the insurance and reinsurance industries, and AML and OFAC issues that are specific to insurance.

- How regulatory and enforcement priorities and initiatives are evolving at both the state and federal levels, and their impact on the insurance and reinsurance industries
- FinCEN and the insurance and reinsurance industries
 - What is FinCEN's thinking regarding these industries?
 - Notice of rulemaking regarding customer due diligence (CDD)
 - New and emerging initiatives
 - Potential impact on the industry
- Rethinking the rules under the PATRIOT Act
 - What has worked and what hasn't?
 - Potential for improvement
- New and emerging legislative and regulatory developments
- Impact of state laws on a company's ability to compete
 - Capital requirements
- Assessing the growing trend of state insurance examinations focusing on issues related to OFAC
- Heightened scrutiny of elder abuse cases
 - What are state agencies looking for in this context?
 - Nuances and variations amongst the states
 - Special or unique rules relating to elder abuse
- Which states are leading the charge in investigating elder abuse?
- Assessing the larger trend of theft committed by someone who knows the victim

10:30 Networking and Refreshment Break

10:40 **Complying with Iranian Sanctions at Both
the State and Federal Levels: An In-Depth
Exploration of Sanctionable Activities Tied to
Iran as Relates to Both U.S. and Non-U.S. Insurers
and Reinsurers, Responding to State and Federal
Government Requests for Information, and Best
Practices for Mitigating Exposure to Iranian
Sanctions and Ensuring Compliance with New
and Emerging Regulations**

L. Brent Kessler
Asst. VP, Asst. General Counsel & Compliance Manager
SCOR Reinsurance Company

Robert P. Walsh
Global Financial Crime Officer
AXA Group

Satish M. Kini
Debevoise & Plimpton LLP

Judith Alison Lee
Gibson, Dunn & Crutcher LLP

Meredith A. Rathbone
Steptoe & Johnson LLP

John B. Reynolds, III
Davis Polk & Wardwell LLP

- Fallout for the insurance and reinsurance industries from the implementation of the newest round of Iranian sanctions
- Emerging developments relating to Iranian sanctions
- How have state regulators approached the issue of Iranian sanctions as related to both U.S. and non-U.S. insurers and reinsurers?
- Assessing the meaning and impact of the letters sent to non-U.S. reinsurers from the New York State Department of Financial Services (DFS)
 - Jurisdictional issues
 - How and to what extent have companies responded to the letters?
- Does the DFS have the authority to penalize these companies?
 - If so, what penal actions might the DFS take against a company that doesn't provide the requested information or that the DFS views as having engaged in sanctionable activity?
 - If the DFS lacks the necessary penal authority, what other actions could it take?
- How are OFAC and the Department of Justice reacting to the DFS letters and any information that is gleaned from them?
- Evaluating the Iran Freedom and Counter-Proliferation Act of 2012 (IFCPA)
 - Impact on the insurance and reinsurance industries
 - Exercising appropriate due diligence measures to avoid sanctionable activity
- OFAC guidance relating to IFCPA
- Best practices for insurance and reinsurance companies to ensure compliance with Iranian sanctions, at both the state and federal levels
- Application of Iranian extraterritorial sanctions to the insurance and reinsurance industries
- Impact of the Iran Terror Reduction Act (ITRA) on the industry
- Implementation of Sections 218 and 219 of ITRA
 - Assessing the disclosure requirements
 - What, if anything, has the federal government done regarding investigations or actions arising from these disclosures?

12:10 Networking Luncheon for Speakers and Attendees

1:10 Developing and Implementing Best Practices In Order to Avoid Engaging in Sanctionable Activity, Ensuring Compliance with New and Emerging Regulations, and Managing Conflict of Law Issues

Ben Omorogbe
Vice President and Assoc. Group General Counsel
Travelers Companies, Inc.

Damian V. Sepanik
Chief Compliance Officer
Zurich North America

Inna Tsimerman
Chief Privacy and International Trade Counsel
Marsh & McLennan Companies, Inc.

David C. Butman
Hinkhouse Williams Walsh LLP

Cari N. Stinebower
Crowell & Moring LLP

Kathy S. Strom
Cahill Gordon & Reindel LLP

- OFAC's evolving priorities: preparing for increased scrutiny of and enhanced enforcement actions against insurers and reinsurers
- Evaluating your current OFAC compliance procedures
 - Identifying potential pitfalls, areas of concern, and compliance gaps
- Ownership, control, and relational concerns
 - Getting to the bottom of relationships and links amongst companies
 - Knowing your customers' customers
- Identifying and understanding facilitation risks
 - How and when do these risks occur?
 - Best practices for reducing your exposure to facilitation risks
- OFAC investment considerations for insurance companies
 - Determining with whom insurance companies can invest, especially in emerging markets
- How OFAC procedures differ based on:
 - Company size and product offerings
 - Domestic versus global companies
- OFAC considerations specific to reinsurers:
 - Communicating with cedents to ensure mutual understanding of your OFAC obligations
 - Facultative reinsurance: Assessing the potential for an individual policy to result in an OFAC violation
 - Reinsurance treaties: Ensuring that the necessary exclusions and protections are included so as to minimize the risks of OFAC violations
- Staying current with new laws and sanctions
 - Becoming more proactive in the absence of official guidance
 - How do you determine what you need to do in order to be in compliance and avoid sanctions?
 - Implementing the lessons learned from enforcement cases against other companies
 - Observing and discussing what other companies are doing and implementing their successes into your programs
- OFAC licensing hurdles
 - Best practices for obtaining a license
- Communicating with OFAC and providing them with greater insight into the industry's compliance concerns
- OFAC screening
 - Evaluating your screening processes and procedures – are you screening properly?
 - Making use of screening software
- Lessons for the insurance and reinsurance industries from the recent settlement between Wells Fargo and OFAC
- Key hotspots beyond Iran and how to minimize your exposure to sanctions
 - Developments relating to Syria and Cuba
- Assessing the extraterritorial sanctions that apply to non-U.S. reinsurers
 - Which regulations apply to foreign reinsurers and how do you comply with them?
- Conflict of law issues that arise between U.S. extraterritorial sanctions and the European Blocking Statute
 - Best practices for companies facing this situation

- Assessing the challenges of OFAC compliance in the Group Insurance space
 - OFAC risks specific to Group Insurance
 - Determining whether your current controls are appropriate
- OFAC hurdles arising from foreign holding companies with U.S. employees
 - Ensuring effective screening

2:40 Networking and Refreshment Break

2:50 Examining Critical Anti-Money Laundering Hurdles Facing the Insurance Industry: Assessing the Impact of Recent High-Profile AML Enforcement Actions and New and Emerging Money Laundering Trends, and Ensuring That Your AML Program Is In Compliance With the Evolving Regulatory Paradigm

Jonathan F. Matthews
Assistant Vice President
MetLife

Lisa Tate
Vice President & Associate General Counsel
American Council of Life Insurers (ACLI)

- Assessing the recent high-profile AML enforcement actions against large banks and their implications for the insurance industry
 - How have these companies revamped their compliance programs and what are they focusing on moving forward?
 - How should insurance companies adapt their AML processes and procedures, if at all, to minimize the risks of non-compliance?
 - Lessons learned from recent enforcement actions, whether in the insurance industry or otherwise
- Are regulators becoming more stringent with AML enforcement across the board?
 - Ensuring that you are prepared for enhanced enforcement initiatives
- Evaluating FinCEN's proposed customer due diligence requirements for financial institutions and their impact on the insurance industry
 - Beneficial owner requirement
 - Implications of having to conduct AML due diligence on broker-dealers' customers
- Assessing the potential for money laundering activities involving stranger-owned life insurance and stranger-owned annuities
 - Preventing, detecting, and reporting on such activities
- Potential impact of a new FinCEN examination manual
 - What will the regulators be looking for and expecting when conducting an examination?
 - What kind of guidance would the manual provide?
 - How would the industry likely respond to the manual in terms of adapting existing programs?
- Evaluating your current AML program
 - Identifying potential pitfalls, areas of concern, and compliance gaps
- Conducting an effective and accurate AML risk assessment
 - Geographic risks; product- and service-specific risks; client-specific risks
- Implementing appropriate controls in response to your risk assessment

- Ensuring accurate and timely identification of "red flags"
- How AML considerations and programs differ based on:
 - Company size and product offerings
 - Domestic versus global companies
- Establishing a global AML policy
 - U.S.-owned companies
 - Foreign-owned companies
- Accounting for AML risk in non-life policies
- Identifying the discrete functions in which employees may encounter money laundering "red flags"

4:00 Benefiting From Convergence: Streamlining Your AML, Fraud Prevention, OFAC, and FCPA Programs and Leveraging Existing Resources to Increase Efficiency and Reduce Costs

Laura Notes-Heeger
Assistant Vice President
Global Anti-Corruption Unit
MetLife

Henry T. French, Jr.
General Counsel for Global Litigation
& Compliance Director
XL Group

Greta Lichtenbaum
O'Melveny & Myers LLP

- Examining the overlap between fraud and AML initiatives in the insurance and reinsurance industries
 - The convergence between money laundering and fraud
 - Achieving increased efficiency and cost-savings by coupling anti-money laundering and fraud prevention efforts
 - Education and training initiatives
 - Remediation
- Benchmarking your programs against those of other companies
 - Learning from other companies' successes and mistakes
 - What has worked well and what has not?
- FCPA considerations for insurance and reinsurance companies
- Identifying opportunities to enhance efficiency
 - PEP screening
 - Leveraging information from your PEP screening process to satisfy both AML and FCPA compliance requirements
- Outsourcing basic components of your AML, fraud prevention, OFAC, and FCPA programs in order to free up internal resources
- Determining which processes and procedures are appropriate for outsourcing
 - Initial OFAC screening
- Ensuring that outsourced program components are handled properly
 - Monitoring third parties
- Identifying and eliminating redundancies in your processes and procedures
- Striking the appropriate balance between increasing efficiency and maintaining the integrity of your AML, fraud prevention, OFAC, and FCPA programs
- Streamlining your compliance programs without violating privacy laws

5:20 Conference Adjourns

Day 2: Wednesday, January 22, 2014

7:30 Continental Breakfast

8:00 **Conducting Effective Internal Investigations Into Potential Money Laundering Activity, Fraud, Sanctions Violations, or FCPA Violations**

Steve Mulligan

Vice President – Global Sanctions Transaction Monitoring
HSBC Bank USA

John M. Hodgens, Jr.

AVP, Chief Anti-Money Laundering Officer and Chief Counsel Global Compliance
Manulife Financial/John Hancock Financial

Tracy S. Woodrow

Bank Secrecy Act Officer
M&T Bank

Jamie L. Boucher

Skadden, Arps, Slate, Meagher & Flom LLP

Kymerly Kochis

Nelson Levine de Luca & Hamilton, LLC

- Assessing when an investigation is necessary
 - When internal investigations are not warranted or appropriate
- Determining who should conduct the investigation
 - In-house versus outside counsel
- Evaluating the type of investigation that meets your needs
- Conducting an internal investigation
 - Document trail
 - Effective employee interviews
 - Expediting the process
 - Preserving confidentiality and privacy
- Evaluating and assessing the overlaps between fraud investigations and money laundering investigations
 - Best practices for tying fraud and AML investigations together
- Minimizing risks to the company when conducting an investigation
- Preserving documentary and computer evidence
- How attorney-client privilege and the work product doctrine apply
- Implementing changes based on investigation findings
- Preparing for government investigations of suspected laundering activity, sanctions violations, or FCPA violations
 - Proactive measures to protect the company
 - Providing relevant documentary evidence
 - The importance of full cooperation — and what it entails
 - What should and should not be disclosed
- Who to notify about findings and when to notify them

9:30 Networking and Refreshment Break

9:40 **Preparing for an Increase in the Scope, Coordination, and Frequency of State Insurance Department Examinations and Implementing Effective Internal and External Auditing Procedures**

Jennifer Annala, CAMS

Compliance Consultant
AML and Financial Sanctions
Pacific Life Insurance Company

Jerry Danielson

Assistant Vice President, Compliance Audit Director
Lincoln Financial Group

Richard W. Kinville II, CAMS

Vice President, Anti-Money Laundering Officer
Prudential Financial

- Assessing recent coordination efforts between FinCEN and the states
 - How do exams by state agencies differ from those by federal agencies?
 - Which states are already conducting exams and what has the industry experience been like thus far?
- Knowing what to expect from an audit and avoiding unpleasant surprises
 - Determining what examiners are looking for and what they expect
 - Types of data requests that you should expect to receive
- Identifying causes of concern that have arisen in examinations of other companies
- Conducting ongoing self-auditing to ensure continuing compliance
- Internal versus external audits
 - Who should conduct an internal audit?
 - External audits
 - The role of independent, external auditors in your program
 - Using both internal and external audits
- Assessing who and what should be reviewed during an audit
- Determining when and how often to conduct audits
- Overcoming the unique challenges faced when auditing international divisions
 - Privacy issues
 - Access to information
 - Conflict of laws

10:55 **Suspicious Activity Reporting, “Know Your Customer” Protocols, and Information Sharing: Detecting and Reporting on Potential Laundering or Fraudulent Activities and Overcoming the Challenges of Identification, Including Cases Involving Elder Exploitation**

Debra J. Hernesh

Director, AML
Prudential Financial

Brian L. Mannion

Managing Counsel
Office of Privacy, Technology, Information and Contract Services (OPTICS)
Nationwide Mutual Insurance Company

Chris Szafranski

Assistant Director
Compliance/Best Practices
Northwestern Mutual

- Assessing recent and emerging trends and categories relating to suspicious activities
 - What to be aware of and what to be on the lookout for

- The increasing number of AML cases involving elder exploitation and the complications that often arise in these cases
 - SAR issues
 - Individual state reporting requirements
 - What information do states require?
 - Variations amongst states regarding how elder abuse reports are handled
 - Elder abuse investigations
- Assessing the larger trend of theft committed by someone who knows the victim
- Recognizing and responding to e-fraud and hacked customer email accounts
 - Determining whether to file a SAR
- Determining whether an agent, rather than a client, is the entity involved with suspicious activity
 - Best practices for handling this situation
- Identifying “red flags” accurately and efficiently
- Considerations for internal reporting
 - Determining which reports should be given to senior management
- Making the decision to file a SAR
 - When to file
- Automated SARs
 - Evaluating their costs and benefits
 - How, if at all, has automation helped with sorting data and determining trends?
- Filing SARs and cash transaction reports
 - “Real time” reporting
 - What to monitor
- Implementing appropriate mechanisms for reporting of sensitive information
- Specific transactions vs. patterns
- Reporting considerations
 - What data should be captured; unusual activity vs. suspicious transactions; evaluating and assessing operations; accepting cash-like payments; third party transactions; recording/monitoring types of deposits
- Ensuring that you have appropriate KYC protocols in place
 - Obtaining sufficient information about your customers
 - Customer risk ranking
 - Striking the right balance between being customer-friendly and complying with KYC requirements
- Implementing customer identification procedures
 - How and when to verify identities; developing an effective record-keeping system; taking action when an unauthorized person has been identified
- OFAC list compliance and its relationship to the CIP process
- What to do when an OFAC name is detected
 - Closing policy; navigating the appeals process; liability issues
- Customer identification issues relating to beneficial ownership
- Information sharing under 314(b)
 - When to make use of this safe harbor; ensuring that you receive the safe harbor protections; acquiring information from other insurance companies and financial institutions; what has and has not worked

12:10 Conference Ends — Lunch for Working Group Participants

Post-Conference Working Group

(separate registration required)

Wednesday, January 22, 2014

1:00 p.m.-3:00 p.m. (registration begins at 12:30 p.m.)

Benchmarking Your AML and OFAC Compliance Initiatives – Identifying Industry Best Practices and Incorporating Them Into Your Compliance Programs

L. Brent Kessler

Asst. VP, Asst. General Counsel & Compliance Manager
SCOR Reinsurance Company

Richard W. Kinville II, CAMS

Vice President, Anti-Money Laundering Officer
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Brian L. Mannion

Managing Counsel
Office of Privacy, Technology, Information and Contract Services (OPTICS)
Nationwide Mutual Insurance Company

Laura Notes-Heeger

Assistant Vice President
Global Anti – Corruption Unit
MetLife

Ben Omorogbe

Vice President and Assoc. Group General Counsel
Travelers Companies, Inc.

Joan L. Selvig

AVP – General Compliance & Info Mgmt
Zurich North America

Chris Szafranski

Assistant Director
Compliance/Best Practices
Northwestern Mutual

Jamie L. Boucher

Skadden, Arps, Slate, Meagher & Flom LLP

Kathy S. Strom

Cahill Gordon & Reindel LLP

Lynn M. Van Buren

Bryan Cave LLP

Led by industry experts, this interactive session will provide participants with an unparalleled opportunity to benchmark their AML and OFAC compliance programs with other insurance and reinsurance professionals from around the nation. Find out what has worked and what has not worked for others and how they are meeting the challenges of AML and OFAC compliance. You will come away from this session with a framework for best practices as well as the insights and knowledge necessary to implement them.

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January 21–22, 2014 | The Carlton Hotel | New York, NY

Hear from 20 senior in-house counsel
and compliance experts, 8 federal
and state regulatory and enforcement
officials, and leading outside counsel
from around the nation

Be sure to also register for the
Benchmarking Working Group:

Benchmarking Your AML and
OFAC Compliance Initiatives
– Identifying Industry Best
Practices and Incorporating Them
Into Your Compliance Programs

January 22, 2014 | 1:00 p.m.–3:00 p.m.

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Registration Fee

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