



Association of International Bank Audit and Compliance Professionals Inc.

## July 30, 2020 Webinar: Pandemics to Recession—Finding AML and ABC Synergies in Tough Times

Thursday, July 30, 2020  
1:30 p.m. – 2:30 p.m.

In association with

**K2** Intelligence  
Investigations • Compliance Solutions • Cyber Defense



FINANCIAL  
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# AGENDA

## **AIBACP and K2-FIN Webinar: Pandemics to Recession—Finding AML and ABC Synergies in Tough Times**

During times of economic upheaval and uncertainty it is natural for businesses to focus their strategic efforts on continuity planning and shoring up resources to weather the storm. Though increased focus on AML and ABC measures may not seem critical at this time, loosening this oversight could cause major issues down the line. In this webinar, Adam Frey and Joanne Taylor, managing directors at K2 Intelligence Financial Integrity Network, will discuss how organizations can leverage compliance resources in order to maintain a robust program even in times of turmoil, including:

- Reducing fraud and bribery risk through combined workflow and case management strategies, data analytics, risk rating engines, and alert review teams
- Customizing technology by combining information from AML, sanctions, fraud, and ABC sources to build more robust metrics reporting and risk teams
- Cross-training staff to cover instances of increased activity or shortages between various functions

**1:30 - 1:35 p.m.**                    **Welcome**  
Michele M. Fleming, Chair, AIBACP

**1:35 - 2:20 p.m.**                    **Webinar**  
Adam Frey and Joanne Taylor discuss how organizations can leverage compliance resources in order to maintain a robust program even in times of turmoil

**2:20 – 2:30 p.m.**                    **Q&A**

### **Speakers:**



**Adam Frey**  
*Managing Director, K2 Intelligence Financial Integrity Network*

Adam Frey is a managing director at K2 Intelligence Financial Integrity Network (K2-FIN) in its U.S. Investigations and Disputes practice. Adam helps clients to mitigate risks associated with litigation, alleged misconduct, major investments, corporate hiring, and third-party relationships, as well as to ensure that their anticorruption and international financial sanctions policies and procedures are effective and up to date. His clients come from a range of sectors and industries—including financial services, law firms, insurance, healthcare, nonprofit organizations, and the government.

Adam also works closely with the firm's Financial Crimes Risk and Compliance practice as a key member of several of K2 Intelligence's independent consultant teams. In that capacity, Adam works at the direction of federal, state, and/or international regulators to monitor and assess global financial institutions' compliance with Anti-Money Laundering (AML) and Office of Foreign Assets Control (OFAC) enforcement actions and related consent orders. As part of K2-FIN's independent consultant teams, Adam helps lead K2-FIN's reviews of the institutions' BSA/AML and/or sanctions compliance programs, policies, and procedures.



## **Joanne Taylor**

*Managing Director, K2 Intelligence Financial Integrity Network*

Joanne Taylor, a managing director at K2-FIN, has 20 years of legal, investigations and financial crime compliance experience, which includes fraud risk management, anti-bribery and corruption, regulatory enforcement and fraud investigations experience working within the financial and legal services industries.

Joanne joined K2-FIN from Deutsche Bank, where she served as managing director, global deputy head of anti-fraud, bribery, and corruption. In this role she was responsible for global anti-fraud, bribery, and corruption (ABC) strategy, programs, and framework efforts, which included governance, policy, remediation, training and awareness, risk assessment, reporting, and whistleblowing, as well as fraud detection and monitoring strategy. She also regularly engaged with board members and senior management, regulators, regulatory monitors, and internal and external audit teams. As managing director, head of whistleblowing and global ABC investigations, she was responsible for all aspects of the bank's global whistleblowing program and cross-border investigations relating to fraud, bribery and corruption. As director, regional head of anti-fraud and investigations, UK and CE-EMEA, she was responsible for internal and external fraud investigations, advising on fraud prevention and oversight of first-line fraud controls as well as interfacing with law enforcement. Joanne also led cross-border AML investigations, briefing senior management and regulators.

### **CPE Credit**

1 CPE Credit will be awarded for attending the **live webinar** presentation.

### **AIBACP Members must registration for and attend the live webinar to earn CPE credit**

Please register by clicking the "Register here" button on Page one.

### **A recording of this webinar will be posted on the AIBACP and K2 Intelligence websites**

No CPE credit will be awarded for viewing the recording.

### **Questions?**

Please email Rose Napoli at [rosenapoli23@gmail.com](mailto:rosenapoli23@gmail.com).