

AIBAC^{CP}



Association of International Bank Audit and Compliance Professionals Inc.

June 18, 2020 Webinar: Improving Effectiveness and Sustainability in Financial Crimes Compliance and Risk Management

**Thursday, June 18, 2020
1:00 p.m. – 2:00 p.m.**

In association with

K2 Intelligence

Investigations • Compliance Solutions • Cyber Defense



**FINANCIAL
INTEGRITY
NETWORK**

AGENDA

AIBACP and K2-FIN Webinar: Improving Effectiveness and Sustainability in Financial Crimes Compliance and Risk Management

K2 Intelligence Financial Integrity Network's Tom Bock and Chip Poncy will join Sarah Runge, global head of FCC regulation strategy at Credit Suisse, on a live webinar, "Improving Effectiveness and Sustainability in Financial Crimes Compliance and Risk Management" on June 18, 2020.

In this webinar, our panel of financial crimes risk and compliance experts will discuss challenges and best practices in developing effective and sustainable financial crimes compliance risk management regimes, particularly on an enterprise-wide basis. Tom Bock, Chip Poncy, and Sarah Runge – with over 50 years of combined experience combating financial crime in the public and private sectors – will address breaking down silos while incorporating specialized expertise, leveraging investments in data and analytics, and developing robust information sharing and outreach programs to bolster and sustain FCC program effectiveness and sustainability.

| | |
|-------------------------|---|
| 1:00 - 1:50 p.m. | Webinar Tom Bock, Chip Poncy, and Sarah Runge discuss challenges and best practices in developing effective and sustainable financial crimes compliance risk management regimes |
| 1:50 – 2:00 p.m. | Q&A |

Speakers:



Tom Bock

Global Co-Head Financial Crimes Risk and Compliance

Thomas Bock, the global co-head of K2 Intelligence's Financial Crimes Risk and Compliance practice, has more than 20 years of global experience assisting clients with complex Anti-Money Laundering (AML), sanctions, regulatory compliance, fraud investigations, and risk management matters. Tom works with clients to evaluate their existing AML procedures, develop new solutions to minimize risk and costs, and implement new programs to ensure regulatory compliance. His areas of expertise include ensuring compliance with the Bank Secrecy Act (BSA), Know Your Customer (KYC) regulations, the Foreign Corrupt Practices Act (FCPA), and Office of Foreign Assets Control (OFAC) sanctions, and transaction monitoring.



Chip Poncy

Global Co-Head Financial Crimes Risk and Compliance

Chip Poncy is the global co-head of the K2 Intelligence Financial Integrity Network (FIN) Financial Crimes Risk and Compliance practice and a board member at FIN, and is a senior advisor for the Foundation for Defense of Democracies' Center on Economic and Financial Power.

From 2002 to 2013, Chip served as the inaugural Director of the Office of Strategic Policy for Terrorist Financing and Financial Crimes (OSP) and a Senior Advisor at the U.S. Department of the Treasury. As the Director of OSP from 2006 to 2013, Chip led an office of strategic policy advisors in creating policies and initiatives to combat the full spectrum of illicit finance, including money laundering, terrorist

financing, WMD proliferation financing, and kleptocracy flows. As a Senior Advisor from 2002 to 2006, he assisted Treasury leadership in developing the U.S. government's post-9/11 strategy to combat terrorist financing. He also assisted senior leadership in creating and developing the Office of Terrorism and Financial Intelligence in the post-9/11 government reorganization.

Chip led the U.S. delegation to the Financial Action Task Force (FATF) from 2010 to 2013, co-chaired the policy working group of the FATF from 2007-2013, and managed U.S. participation in various G7, G8 and G20 illicit finance experts groups from 2008-2013. Key accomplishments in these roles included assisting in the revision and adoption of the FATF's global standards and assessment processes for future jurisdictional reviews under the FATF global network, and facilitating the integration of counter-illicit finance into the broader global financial reform agenda since 2008.



Sarah Runge

Global Head of FCC Regulatory Strategy at Credit Suisse

Sarah Runge currently serves as Global Head of Financial Crimes Compliance Regulatory Strategy at Credit Suisse. In this role, Sarah works across the FCC and Regulatory Affairs teams in Credit Suisse to develop a global plan to engage with and manage regulatory relationships related to FCC. Prior to joining Credit Suisse, Sarah spent over ten years in the U.S. Treasury Department's Office of Terrorist Financing and Financial Crimes developing domestic and international initiatives to address illicit finance through her work with supervisors, law enforcement, and policy makers in the United States and globally. Her work included leading the U.S. delegation to the Financial Action Task Force and representing the U.S. Treasury Department at the G-7, G-20 and the Financial Stability Board.

CPE Credit

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

AIBACP Members must register 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.