

SIFMA Anti-Money Laundering & Financial Crimes Conference

FEBRUARY 2–4, 2019 GRAND HYATT NEW YORK

SIFMA's Anti-Money Laundering & Financial Crimes Conference brings together leading professionals from the securities industry, regulatory agencies and law enforcement to discuss current developments and priorities in the AML and financial crime space. Celebrating its 19th year, this is the only conference in the AML and financial crime space tailored to broker-dealers and other members of the securities industry.

Jeremy Dresner spoke on a session titled, "New Products, Services and Vendors: Does AML/Sanctions Compliance Have a Seat at the Table?" and discussed the following:

How does your firm look at AML and sanctions risks for new products, services, vendor relationships, or other changes to the business? Are these risks considered by a new products committee, and what role do AML and sanctions compliance play in that committee? Who assesses whether new products are invested in potentially risky activities (e.g., crypto-related holdings)? Who considers the risks associated with any new vendor relationships?

Is there enterprise-wide coordination, including with global counterparts? What effective governance practices can your firm apply to ensure that the firm is complying with applicable legal and regulatory requirements in the context of changes to the business; that appropriate measures have been taken to protect the firm from risk (e.g., through contractual provisions); and that there is consistency in decision-making?

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