



Half-Day Compliance Boot Camp

AGENDA

Baltimore, MD June 8, 2015

- 8:00 a.m. – 8:30 a.m. **Registration**
- ▶ Continental breakfast
- 8:30 a.m. – 8:45 a.m. **Introduction**
- ▶ Welcome Remarks
- 8:45 a.m. – 10:00 a.m. **Session 1 – Supervision**
- ▶ Outline key aspects of the supervision and supervisory controls rule
 - ▶ Identify practical considerations for complying with the rule's requirements
 - ▶ Discuss how firms address key issues related to supervision
- 10:00 a.m. – 10:15 a.m. **Break**
- 10:15 a.m. – 10:45 a.m. **Session 1 – Supervision (cont'd)**
- ▶ Case study
- 10:45 a.m. – 12:00 p.m. **Session 2 – AML Compliance**
- ▶ Highlight key requirements under the rules
 - ▶ Evaluate ways to develop a risk-based AML program
 - ▶ Analyze the sources of AML risks
 - ▶ Define the elements of comprehensive independent testing
- 12:00 p.m. – 12:30 p.m. **Session 2 – AML Compliance (cont'd)**
- ▶ Case study
- 12:30 p.m. **Adjourn**