Hello Everyone!!

We are pleased to inform you that our colleagues at **Morgan Stanley** offered to host a Compliance Peer Roundtable dedicated to the topics of  **“Financial Crimes Technology: Best Practices for AML Transaction Monitoring, Sanctions Screening, & Model Risk Management, Validation and applied use of Artificial Intelligence”.** The event will take place on **Wednesday, February 28th, 2018 at 1:30 pm to 4.45pm** and it will held at **Morgan Stanley’s** **midtown Manhattan offices located at 1585 Broadway Ave, New York, NY, 10019 - 4th Floor Auditorium.**

During the event we will discuss current challenges and best practices in AML Transaction Monitoring & Alert & Case Management Systems, the applied use of Artificial Intelligence, Machine Learning and Predictive Analytics, the application of Model Risk Management to Sanctions Screening (as recently mandated by OCC) and the various aspects of Single Customer View. Our SME Panel Members will include head of Compliance and Risk Technology, Head of AML Compliance and Sanctions as well as several Model Risk Management, Tuning, Calibration and Validation SMEs. Members of the audience will support our facilitated discussion by sharing their perspective and applied use of Artificial Intelligence in AML Transaction Monitoring and Sanctions Screening as well as their Sanctions MRM readiness and challenges observations.

This is a complimentary Peer Roundtable event, everyone who is currently involved in AML and Sanctions Compliance, in technical, analytical or operational role is welcome to attend.

Please feel free to share this invitation with your colleagues that may benefit from attending. We hope you and your team can join us and help us make this an informative, educational, productive and interesting event.

**About Compliance Peer Roundtable:**

As many of you may know, together with my colleagues, Alan Morley and Peter Wild, I am the co-chair of the AML Compliance Peer Roundtable Group and some of you may have attended our prior events. We are the largest AML Compliance Peer Group, non-for profit (operated by volunteers), with word-wide reach. We organize several periodic (always complimentary) Knowledge Sharing Peer Roundtable events every year.

We started meeting as a Peer Group in the summer of 2006 with just a handful of participants.

Over the years the Group expanded and gained world-wide recognition.

We added several topic-specific Focus Groups, including the AML & Financial Crimes Audit Focus Group (2015), we also held our first Trade Finance - AML Transactions Monitoring Best Practices Roundtable (it was held in Singapore in late 2016) and hosted by Bank of Montreal, Singapore Branch).

The Group is now meeting 4 to 8 times a year in New York, London and Singapore with over 1000 members representing over 50 financial institutions.

**Roundtable Meeting Logistics:**

* This is an In-Person only event, we don’t usually provide a dial in numbers.
* As always - this is a complimentary Peer event, organized by and for the benefit of our AML Compliance peers and colleagues.
* Without your involvement, participation, attendance and/or Hosting, the Peer Roundtable Workshops would not be possible.
* Reservations will be accepted on first come – first serve basis and seating is limited. Our events are usually over-subscribed – so please RSVP soon.
* Please feel free to share this invitation with your colleagues.
* Vendors are not permitted to attend.
* ***RSVP Monday, February 26th, 2018***
* Refreshments and snacks will be served
* For those of you who may be new to the Compliance Peer Roundtable Group and the workshops we periodically organize – we are a group of AML Compliance peers, we come together periodically to discuss current or proposed regulations and their anticipated impact, current operational, functional or technical challenges, to share best practices and lessons learned, to define various minimum standards, to learn, to exchange ideas, and to get to know our industry peers
* All Roundtable events are held under **strict** **Chatham House Rules** <http://www.chathamhouse.org/about/chatham-house-rule>
* We have been meeting since 2006 and over 1,000 Compliance peers are now supporting, participating and hosting our events and workshops worldwide
* If you would like to attend any of our events, be a speaker or SME Panel Member, suggest a topic for a future Roundtable, obtain a copy of some of the annual surveys, volunteer your time, host a future event, request complimentary peer training, or just ask a question, please go to [www.ComplianceRoundtable.org](http://www.ComplianceRoundtable.org) and send us an email.

***If you like to take more active role as a guest speaker, presenter or panelist, please let us know which agenda discussion points you may wish to cover and we will allocate time for you to share and present. Deadline for presenters is Friday, February 23rd, 2018.*** Please keep in mind that individual presentations must be limited to under 10 min.

We are looking forward to seeing you on February 28th

Thank you

Violette Palion, Roundtable Co-Chair

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**AML Compliance Peer Roundtable Presents:**

**“Financial Crimes Technology: Best Practices for AML Transaction Monitoring, Sanctions Screening, & Model Risk Management, Validation and applied use of Artificial Intelligence”**

**Event Details:**

**Event Host: Morgan Stanley**

**Meeting Type: Compliance Roundtable Peer Discussion (In Person Meeting)**

**Date: Wednesday, February 28th, 2018**

**Time: 1:30 pm to 4:45 pm**

**Event Location: Morgan Stanley, 1585 Broadway Ave, New York, NY, 10019 - 4th Floor Auditorium**

**Proposed Agenda:**

**Welcome Message from the Host: Bassma Elshemmy, Executive Director, Financial Crimes Technology**

**Housekeeping & Announcements: Violette Palion, Co-Chair**

1. **AML Transaction Monitoring Systems Used (including in-house systems and new products)**
2. **Alert & Case Management Systems Used (including in-house systems and new products)**
3. **AML Transactions Monitoring Model Risk Management, Tuning and Validation: Products and Solutions Used, Current Trends, Technical Challenges and Lessons Learned**
4. **Sanctions Screening Systems Used**
5. **OCC 2011-12 Model Risk Management principals being extended to Sanctions Screening Systems**
6. **Validation of Sanctions Screening Systems (Sanctions Screening System being a Risk Model)**
7. **Practical use of Artificial Intelligence, Machine Learning, Predictive Analytics in Financial Crimes – actual & applied usage vs. theoretical lab work**
8. **Single Customer View: a fact or a myth**
9. **Scope of Single Customer View and Dependency on Unique Customer Identifier (an Index and a View)**