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December 10-11, 2019 | The Westin New York at Times Square

10th Annual New York Forum on

ECONOMIC SANCTIONS

An Expert Gathering of Top Financial Institutions and Leading Global Exporters to Discuss the Most Pressing Sanctions Issues



GOVERNMENT SPEAKERS:



David Peyman
Deputy Assistant Secretary for Counter Threat Finance and Sanctions, Bureau of Economic and Business Affairs
U.S. Department of State



Daniel Cariello
Compliance Officer, Sanctions Compliance and Evaluation Division
Office of Foreign Assets Control
U.S. Department of the Treasury

BENCHMARK WITH SENIOR EXECUTIVES FROM:

- Bank of America
- BB&T
- BDP International
- BNP Paribas
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- Citi
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- JPMorgan Chase & Co.
- Microsoft
- Société Générale
- Standard Chartered Bank
- Stripe
- UBS
- Varian Medical Systems
- Weatherford

COUNTRY SPOTLIGHTS:



RUSSIA: Understanding the Impact of the Latest Sanctions and the Role of CAATSA



IRAN: Rollback of the JCPOA and How Industry is Coping with EU Blocking



CUBA: New Compliance Risks for Companies After Full Implementation of Title III of the Helms-Burton Act



VENEZUELA: Resolving Questions on Debt, Securities and Investment Funds, and Whether to Continue Business or Exit

WHAT'S NEW FOR 2019:

- > **OFAC GUIDANCE:** What makes an effective sanctions compliance program
- > **IN-HOUSE COMPLIANCE ROUNDTABLE:** How companies are responding to the enhanced sanctions enforcement landscape
- > **INNOVATION IN SANCTIONS COMPLIANCE:** How AI and machine learning are shaking up compliance
- > **TRADE DEVELOPMENTS:** Considerations for running a global business amid an escalating US-China trade war, sanctions and export controls
- > **IN-HOUSE EXCHANGES:** Forging synergies between your sanctions, CFIUS, FCPA and AML programs

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Business Information in a Global Context



Don't miss this opportunity to meet with government regulators, financial institutions, global exporters and the best of the sanctions bar.

Ramped-up sanctions against Russia; blocking of the entire Venezuelan government; the first lawsuits amid full implementation of Title III of the Helms-Burton Act; tit-for-tat seizures of Iranian and British vessels. The list of frequent sanctions alerts goes on.

In addition, OFAC recently issued its first-ever compliance guidance and is on track to hit a decade-high amount of sanctions penalties.

Needless to say, multinationals' compliance experts and their outside counsel should attend this timely event to:

- **EXCHANGE** best practices on sanctions compliance
- **NETWORK** with peers to find out what others are doing to remain compliant
- **DISCUSS** practical solutions to the most common sanctions challenges

ACI's acclaimed 10th New York Forum on Economic Sanctions is the annual must-attend event to delve deep into the trickiest compliance conundrums today.

REGISTER EARLY TO SECURE YOUR SPOT AT REDUCED RATES!



Who Will you Meet?

Vice Presidents, Directors, Managers and Specialists of:

- OFAC Compliance
- Global Sanctions
- Financial Crime
- AML
- Regulatory Compliance
- International Trade Compliance
- Internal Audit
- Global Finance Customer
- Transaction Monitoring

Corporate Counsel specializing in

- Sanctions
- International Trade
- Export Compliance

Outside Counsel specializing in

- Sanctions
- OFAC
- International Trade Law
- Export Controls
- Regulatory Compliance
- Banking/Insurance Law
- Financing Crime
- AML

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American Conference Institute

The C5 Group, comprising American Conference Institute, The Canadian Institute and C5 in Europe, is a leading global events and business intelligence company.

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ACI: Economic Sanctions Compliance and Enforcement Exchange ACI: International Trade Group

Pre-Conference Workshops

December 9, 2019



WORKSHOP A

9:00 am – 12:30 pm (Registration begins at 8:30 am)

Comprehensive Overview of U.S. Sanctions Regulatory Regimes and the Key Components of an Effective Compliance Program



Rob Stapleton
Associate General Counsel
Interactive Brokers (Chicago, IL)



Robert Slack
Senior Associate
Kelley Drye & Warren LLP (Washington, DC)

Get a refresher on the latest U.S. sanctions restrictions in effect today. Participants of this interactive and practical workshop will receive an overview of sanctions with a dedicated focus on recent developments, including:

- Comprehending the nuts and bolts of OFAC comprehensive and limited sanctions on Russia, Iran, Cuba, Venezuela, and North Korea
- Gaining an understanding of how OFAC's list-based programs include a range of subtle nuances that can expose U.S. persons to civil and criminal liability
- Discovering how statutory exemption, general licenses, and specific licenses allow for the processing of otherwise prohibited activity
- Reviewing OFAC-required reporting requirements and the Economic Sanctions Enforcement Guidelines

WORKSHOP B

1:30 pm – 5:00 pm (Registration begins at 1:00 pm)

Russia Deep-Dive: Staying Compliant with Primary and Secondary Sanctions Restrictions



Angelique Shingler
Executive Director, Deputy Global Head of Sanctions
UBS (New York, NY)



Glen N. Kelley
Partner
Jacobson Burton Kelley PLLC (New York, NY)



Stephanie Brown Cripps
Counsel
Freshfields Bruckhaus Deringer (New York, NY)

This in-depth workshop is much more than a basic review of Russia sanctions. Interactive and collaborative in format, the workshop will provide timely guidance on these complex sanctions through hypothetical exercises and case studies. It will be led by experienced practitioners and cover the following topics, among others:

- Overview of the latest sanctions restrictions and impact of new Russia counter-sanctions
- Update on OFAC guidance for licensing
- Practical considerations for screening, ownership and control
- Case studies on how to apply the 50% rule
- Strategies to mitigate secondary sanctions risks

Continuing Legal Education Credits



Accreditation will be sought in those jurisdictions requested by the registrants which have

continuing education requirements. This course is identified as nontransitional for the purposes of CLE accreditation.

ACI certifies that the activity has been approved for CLE credit by the New York State Continuing Legal Education Board.

ACI certifies that this activity has been approved for CLE credit by the State Bar of California.

You are required to bring your state bar number to complete the appropriate state forms during the conference. CLE credits are processed in 4-8 weeks after a conference is held.

ACI has a dedicated team which processes requests for state approval. Please note that event accreditation varies by state and ACI will make every effort to process your request.

Questions about CLE credits for your state? Visit our online CLE Help Center at www.americanconference.com/CLE

Continuing Professional Education Credits



American Conference Institute (ACI) will apply for Continuing Professional Education credits for all conference attendees who request credit. There are no pre-requisites and advance preparation is not required to attend this conference.

Course objective: Update on latest economic sanctions restrictions. Prerequisite: None. Level of knowledge: Beginner/Intermediate.

Teaching Method: Group-Live. Advanced Preparation: None. Delivery method: Group Live.

Please refer to the information in this brochure for outline, course content and objectives. Final approval of a course for CPE credits belongs with each states' regulatory board. Recommended CPE Credit: 17.0 hours for the main conference and an additional 4.0 hours for each workshop.

ACI is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE Sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be addressed to the National Registry of CPE Sponsors, 150 Fourth Avenue North, Suite 700, Nashville, TN, 37219-2417 or by visiting the web site: www.learningmarket.org

To request credit, please check the appropriate box on the Registration form.

Main Conference Day 1

December 10, 2019

7:45 Registration and Continental Breakfast

8:45

Co-Chairs' Opening Remarks



Saam Youssefi-Rad
Sanctions Compliance
Director
Citi (Washington, DC)



Hank Corscadden
Trade Counsel
Microsoft
(Redmond, WA)

9:00

OFAC GUIDANCE AND COMPLIANCE OFAC'S Expectations for an Effective Sanctions Compliance Program



Daniel Cariello
Compliance Officer, Sanctions Compliance and
Evaluation Division
Office of Foreign Assets Control
U.S. Department of the Treasury

- 5 Essential Components of OFAC's Compliance Framework
- How to make best use of key OFAC resources
- How OFAC plans to evaluate your sanctions compliance program
- What penalties can be expected in the event of non-compliance

9:45

AUDIENCE POLLING

IN-HOUSE COMPLIANCE ROUNDTABLE How Companies Are Responding to the Complex Sanctions Enforcement Landscape



Sahand Boorboor
Managing Director,
Global Financial Crimes
Compliance Executive
Bank of America
(New York, NY)



Brian O'Toole
Senior Vice President,
AML Executive –
Sanctions
BB&T (Raleigh, NC)



Catherine Muldoon
Chief Legal Officer
BDP International, Inc. (Philadelphia)

During this discussion in-house executives will share their experiences on how they manage today's enhanced risk for sanctions violations. The conversation will provide insight on the rapidly changing economic sanctions landscape along with the key factors in evaluating new business opportunities in today's global economy.

10:30 Coffee & Networking Break

Media Partner

EU Sanctions
Law, Practice and Guidance

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in ACI: Economic Sanctions Compliance and Enforcement Exchange ACI: International Trade Group



10:45

COUNTRY SPOTLIGHT: RUSSIA Understanding the Impact of the Latest Sanctions and the Role of CAATSA: Mitigating the Most Complex Challenges



Laura Yovanoff
Deputy Global Head,
Sanctions Group
Goldman Sachs
(Washington, DC)



Roberto J. Gonzalez
Partner
Paul, Weiss, Rifkind,
Wharton & Garrison
LLP (Washington, DC)



Allie Cheatham
Executive Director – Compliance Director | Global
Sanctions Compliance – Advisory & Investigations
JPMorgan Chase & Co. (New York, NY)

- The implications of additional sanctions following the release of the Mueller Report
- Anticipating the implications for industry of State Department sanctions regarding the Chemical and Biological Weapons Control and Warfare Elimination Act (CBW Act)
- How to research and identify ownership and control for non-listed entities that may fall under the 50% rule
- What a recent legal challenge to the constitutionality under the Fourth Amendment of the 50% Rule could imply for OFAC's sanctions regime
- The role of CAATSA for future sanctions
- Estimating the impact of Russian countersanctions

11:45

REGULATORY PANEL How Various Sanctions Regulating Bodies Are Collaborating on Global Investigations: Lessons Learned from Recent Enforcement Actions



Alexander Wilson
Chief of the Money
Laundering and Asset
Forfeiture Unit (MLAF)
U.S. Attorney's Office
Southern District of
New York



Daniel Cariello
Compliance Officer,
Sanctions Compliance
and Evaluation Division
Office of Foreign
Assets Control
U.S. Department
of the Treasury



Kimberly A. Strosnider (Moderator)
Partner
Covington & Burling LLP (Washington, DC)

Senior government officials from the foremost economic sanctions agencies will discuss the most important regulatory changes, enforcement and policy priorities of the current year. They will also provide insight into current issues such as:

- Recent policy changes and announcements
- Lessons learned from recent enforcement actions in the US and abroad
- Best practices for industry on cooperating with enforcement agencies
- How cases are built and how agencies coordinate amongst each other

12:45 Networking Lunch

1:45 **AUDIENCE POLLING**

SCREENING 2.0 AND ENHANCED DUE DILIGENCE
Best Practices for Intelligence-Gathering for Sanctions Compliance



Stevenson Munro
Managing Director
Global Head –
Economic Sanctions
Compliance
Standard Chartered
Bank (New York, NY)



Dennis Ansbro
Director AML List
Screening Operations
Capital One (New
York, NY)



Hank Corscadden
Trade Counsel
Microsoft
(Redmond, WA)

This panel with seasoned sanctions compliance experts will bring practical examples and hypotheticals of best practices in screening and advanced due diligence. In light of the near daily increase in and updates of sanctions lists published by multiple bodies, careful selection and a concise methodology of identifying sanctions risks are now more important than ever. Benefit from insight into proven techniques to manage the most likely challenges.

2:45

NEW OFAC REPORTING REQUIREMENTS
Rejected and Blocked Transactions and OFAC Advisory for the Shipping, Maritime and Aviation Industries



Justyna Gudzowska
Executive Director and
Financial Crime Counsel
Morgan Stanley (New
York, NY)



Les Carnegie
Partner
Latham & Watkins LLP
(Washington, DC)



Peter Chessick
Counsel
White & Case LLP
(Washington, DC)



Matthew J. Thomas
Partner
Blank Rome LLP
(Washington, DC)

PART 1

Rejected or Blocked Transactions Pursuant to Sanctions: Understanding Who Needs to Report, When, and to Whom

- Blocked vs. rejected transactions: A refresher
- What industries are now mandatorily required to report a blocked or rejected transaction?
- How to define a “transaction” in the broader context: Does a business’s or individual’s “declination to engage” constitute a transaction? Does the existence of a contract equate with a transaction?

PART 2

OFAC Advisories relating to the shipping, maritime and airline industries

- How industry is managing the risk of sanctions evasion on behalf of business partners in charge of transportation of goods and services
- Vessel mapping, tracking and what to do if your freight forwarded turns off the transponder
- Uncovering the true current (and previous) ownership structures of transportation providers
- Examples of additional compliance “burdens” for global delivery and supply chain management companies regarding monitoring compliance on behalf of their clients and customers

3:30 **Coffee & Networking Break**

3:45 **AUDIENCE POLLING**

Virtual Currencies and Other Cutting-Edge Technologies: Challenges and Opportunities, and How to Mitigate AML and Sanctions Compliance Risks



Minakshi Yerra
Senior Director, BSA/
AML & Sanctions
Ripple (San Francisco,
CA)



Amit Sharma
Founder
FinClusive

- Behind the enthusiasm: The biggest challenges that impact your exposure to sanctions risks
- Dissecting the most valuable AML and sanctions guidance
- How to prevent the use of mule accounts used to benefit from online fraud: Preventing that your company is being used to facilitate fraud via illicit transfers and transactions
- E-commerce companies are creating their own currencies and attempting to “back it” with \$ resources: If and how this enhances their sanctions risk

4:30

TRADE TURMOIL ACROSS THE GLOBE
Implications from Escalating US-China Trade War, Sanctions and Export Controls



Ambassador Daniel Fried
Former Coordinator for Sanctions Policy (2013 – 2017)



Kevin J. Wolf
Partner
Akin Gump Strauss Hauer & Feld LLP (Washington, DC)
Assistant Secretary of Commerce for Export Administration,
U.S. Department of Commerce, 2010 to 2017

- Evaluating from a sanctions perspective the implication of the US’s designation of China as a currency manipulator
- The crucial role of the U.S. Department of Commerce/Bureau of Industry and Security (BIS) in imposing designations on Chinese entities
- How the US is targeting Chinese companies with various measures and increasingly using sanctions and export controls as a foreign policy tool
- Case studies and lessons learned: ZTE and Huawei
- Designated vs. targeted companies and individuals: What is the difference?
- Trump’s executive order on strengthening cybersecurity

5:30 **End of Day One**

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Please note that the guest room block cut-off date is **November 12, 2019**. After that date OR when the room block fills, guestroom availability and rate can no longer be guaranteed.

BOOK NOW

Main Conference Day 2

December 11, 2019

NEW 7:45 – 8:30

IN-HOUSE EARLY-RISER SESSION ON OFAC'S SANCTIONS COMPLIANCE GUIDANCE: Best Practices, War Stories and Common Mistakes to Avoid

Designed as exclusive, smaller-group discussions on highly complex challenges, in-house will participants benefit from meaningful opportunities to exchange "war stories" and best practices.

To apply, please email your Name, Title, Position and Company to: SanctionsRoundtable@AmericanConference.com

(Open to in-house compliance executives. All interested parties will be pre-qualified before registering for the program.)

8:00 Continental Breakfast

8:40

Co-Chairs' Remarks

8:45

SPECIAL REMARKS BY THE STATE DEPARTMENT The Trump Administration's Sanctions Priorities for 2020



David Peyman
Deputy Assistant Secretary for Counter Threat Finance and Sanctions, Bureau of Economic and Business Affairs
U.S. Department of State



9:15 COUNTRY SPOTLIGHT: IRAN Rollback of the JCPOA – What's Next: How Industry is Coping with EU Blocking Amidst Restricted Business Opportunities



Lourdes Catrain
Partner
Hogan Lovells International LLP (Belgium)

- Best practices for companies to avoid falling into the trap of the EU blocking statute
- Companies' decision to "de-risk" if a transaction is legal yet deemed "just not worth the risk"
- Establishment and track record of INSTEX, the EU's special purpose vehicle (SPV) to facilitate humanitarian trade
- How to mitigate the risky intersection of sanctions and money laundering

10:15 Coffee & Networking Break

* Denotes invited. Please check the website for the most updated agenda.



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10:30

AUDIENCE POLLING

THE INTERSECTION OF COMPLIANCE PROGRAMS How to Forge Synergies Across Your Sanctions, Export, FCPA & AML Programs



Ellen Smith
Executive Counsel, ITC
Baker Hughes, a GE company
(Houston, TX)



Tina Shaughnessy
Director & Senior Counsel, Export/Sanctions
Varian Medical Systems
(Washington, DC)



Alicia Novak
Director of Compliance and Risk, F-Prime
Capital Partners
Fidelity Investments
(Boston, MA)



Jeremy Zucker
(Moderator)
Partner
Dechert LLP
(Washington, DC)

- How compliance teams can/should assess related risks
- Create, don't duplicate: Identifying tools and tasks that your various compliance teams all use and undertake in common (screening, due diligence, etc.)
- "Spotting the issue:" Training compliance teams to ask the right questions
- Convergence of compliance expectations of regulators (OFAC, DOJ, etc.)
- Common risks across sanctions, export, FCPA and AML programs



11:30

COUNTRY SPOTLIGHT: VENEZUELA The Business Impact Following the Latest Round of U.S. Sanctions: Resolving Questions on Debt, Securities and Investment Funds, and Whether to Continue Business or Exit the Country



Sheena Nayak
Director, Deputy OFAC Officer
Société Générale
(New York, NY)



Nicole Erb
Partner
White & Case LLP
(Washington, DC)



Angelique Shingler
Executive Director, Deputy Global Head of Sanctions
UBS (New York, NY)

- Assessing the impact of the comprehensive sanctions tightening against Venezuela for US and non-US companies
- Delineating the contours of what US and non-US individuals and companies can and cannot do with regard to Venezuela
- What the freezing of all Venezuelan government assets means for international joint venture partners of PDVSA
- Are different industries responding in different ways to Trump's executive order imposing expanded sanctions?

12:15

Global Perspectives from the EU and Canada



Roland M. Stein
Partner
BLOMSTEIN
(Germany)



Michael O'Kane
Partner
Peters & Peters Solicitors LLP
(United Kingdom)



Matt Bell (Moderator)
Senior Managing Director, Forensic & Litigation Consulting
FTI Consulting (Houston, TX)

- How sanctions have recently been addressed and handled outside of the US, and what multinationals are doing in response
- Best practices on complying with the EU blocking statute regarding Iran and Cuba
- Track record of INSTEX (EU's special purpose vehicle, SPV) and predictions for the future
- The anticipated impact of Brexit on multinationals' business operations
 - » An exemption from Russia sanctions?
 - » A different interpretation of the 50% rule
 - » Operational challenges to consider

1:00 Networking Lunch

2:00

INNOVATION IN SANCTIONS COMPLIANCE How AI, Machine Learning and Data Analytics and Are Shaking Up Sanctions Compliance



Nelson Cardona
Managing Director, Global Head of Program Implementation and Risk Management, Sanctions and Anti-Bribery Compliance
Citi (Miami, FL)



Gary M. Shiffman
Founder and CEO
Giant Oak, Inc. (Arlington, VA)

- Change has been afoot in the U.S.'s payments infrastructure for years: Opportunities and challenges
- OFAC's designated sanctioning of cryptocurrency (bitcoin) addresses, and what it means for industry and due diligence
- Why sanctions compliance officers should hail the business world's digital transformation, and how it changes their work on sanctions compliance
- Inclusiveness and accessibility bring benefits but also challenges



2:45

COUNTRY SPOTLIGHT: CUBA New Compliance Risks for Companies After Full Implementation of Title III of the Helms-Burton Act



Jennifer Downing
Director and Senior Counsel, Group Dispute Resolution
BNP Paribas (New York, NY)



Michael Baratz
Partner
Step toe & Johnson LLP (Washington, DC)

- A brief recap of Title III of the Helms-Burton Act (Libertad Act)
- What companies can do if they are sued for damages over private property expropriated during the 1959 revolution
- How likely counteraction by the EU through its Blocking Statute will play out in practice

3:30 Coffee & Networking Break

3:45

REGULATORY DEEP-DIVE & PRACTICAL SCENARIOS A Step-by-Step Guide of a Sanctions Investigation and Voluntary Disclosure Do's and Don'ts

Ilya Schulman
Executive Director, Global Financial Crimes Counsel
JPMorgan Chase & Co. (New York, NY)



David DiBari
Managing Partner
Clifford Chance LLP (Washington, DC)



Erich Ferrari
Founder & Attorney
Ferrari & Associates, P.C. (Washington, DC)

- How to perform an internal sanctions investigation including reporting structure and assignment of roles and responsibilities
- Creating a budget and implementing strategies to monitor exceeding the budget
- Protecting attorney-client privilege
- How to disclose the violation to OFAC

4:30 Conference Concludes

3 Ways to Register



ONLINE:
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 1-888-224-2480

Pricing and Registration Information:

Register & Pay by November 1, 2019

Register & Pay after November 1, 2019

ALL ACCESS PASS (Conference + Both Workshops)	\$3395	\$3595
Conference	\$2195	\$2395
Workshops: A or B	\$600 (Each)	

All program participants will receive an online link to access the conference materials as part of their registration fee.

Additional copies of the Conference Materials available for \$199 per copy.

To update your contact information and preferences, please visit <https://www.AmericanConference.com/preference-centre/>.

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You must notify us by email at least 48 hrs. in advance of the conference if you wish to send a substitute participant. If you are unable to find a substitute, please notify us in writing no later than 10 days prior to the conference date and a credit voucher will be issued to you for the full amount paid, redeemable against any other ACI conference in the next 12 months. Delegates may not "share" a pass between multiple attendees without prior authorization.

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New York, NY 10010

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