

2021 ANNUAL TRADE FINANCE COMPLIANCE CONFERENCE

LONDON

Programme

ONLINE

2021
19-20th May
London

In association with

CTFC

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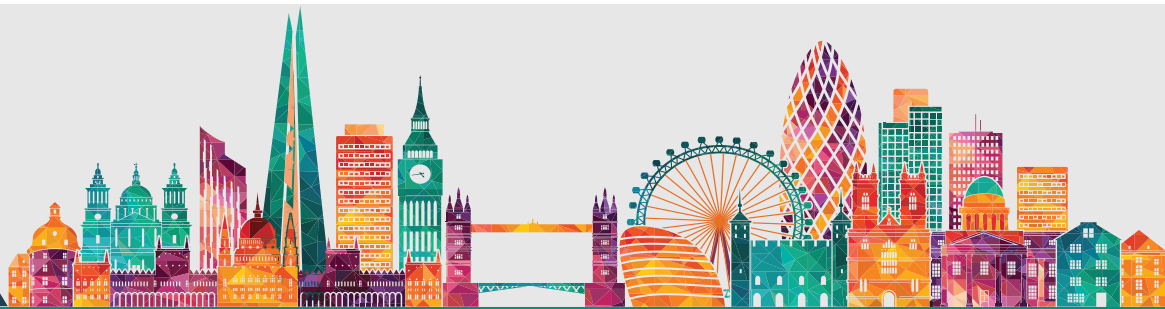
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غرفة التجارة الدولية - الإمارات العربية المتحدة

2021 ANNUAL TRADE FINANCE COMPLIANCE CONFERENCE

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Agenda Wednesday, May 19 - DAY 1

08:30 – 09:00 **Online Check-In**

09:00 – 09:10 **Welcome and Introduction Remarks:** Michael BYRNE (IIBLP)

09:10 – 09:50 **The Professor James E. Byrne Memorial Keynote Address:**
Alexander RESCH - Financial Crime Unit (INTERPOL)

09:50 – 10:40 **Top News and Trends in Trade and TBFC**
Overview of the top news stories, trends and developments

- Open account, Supply Chain Financing and Greensill
- Fraud and knowing your customer
- Free trade zones
- Central Bank action in UAE

Moderator: Neil CHANTRY (Specialist Consultant)

Panelists: Byron McKINNEY (IHS Markit); Graham BALDOCK (Anglo Gulf Trade Bank); Lorna STRONG (HSBC); SOH Chee Seng (Technical Consultant, ABS)

10:40 – 10:50 **Virtual Coffee Break**

10:50 – 11:30 **Shipping Panel**
Topics include:

- Risks to and duties of various parties to a shipping transaction (vessel owner, charterer, technical manager, bunker provider, port operator, etc...)
- AIS issues
- What do OFAC, OFSI, and other regulators expect from the various parties to a shipping transaction
- Vessel Registration – searching for ownership too costly?
- Risks to lenders and others that finance the vessel's cargo, and other operations
- Monetary Authority of Singapore - B/L Registry and transparency

Moderator: Hugo VERSCHOREN (goVer Trade Technologies)

Panelists: George DEVEREESE (IHS Markit); Jeffrey BLUM (Maritime Specialist); Michael HOWLETT (IMB)

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Agenda Wednesday, May 19 - DAY 1

11:30 – 12:10

KYC PANEL

Topics include:

- Is due diligence for your customers enough?
- Whose customer is it?
- Understanding what you should know about your customers and their related companies
- What do the Wolfsberg principles say about this?
- KYCC – limitations of cross border privacy laws
- SWIFT – KYC Registry
- Legal Entity Identifier
- Does KYC = Coverage? FI Home office v. branches

Moderator: Geoff WYNNE (Sullivan & Worcester)

Panelists: John TURNBULL (Bank ABC); Kamola MAHKMUDOVA (EBRD); Julien Laurent (Consultant)

12:10 – 12:20

Virtual Coffee Break

12:20 – 13:00

Tales from the Trenches

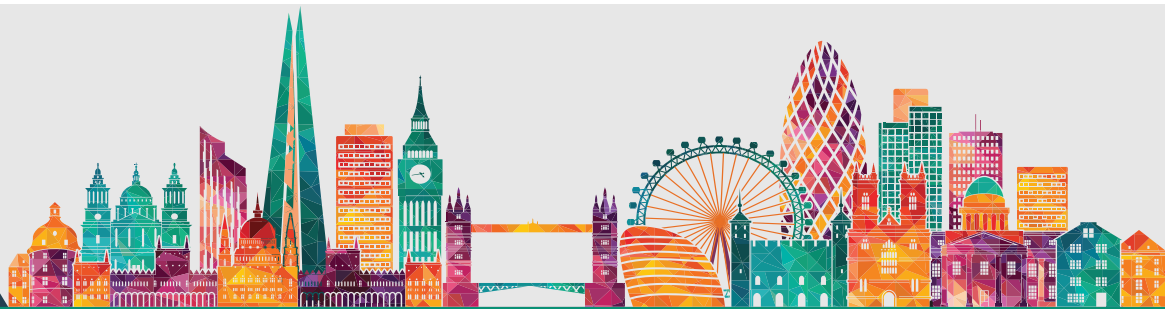
Real-life stories and practical guidance from practitioners.

Moderator: Alex GRAY (LIBF)

Panelists: Ana KAVTARADZE (Trade Force Global Consulting); Gabriele KATZ (Deutsche Bank); Vincent C SOEGIJANTO (Maybank)

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Agenda Thursday, May 20 - DAY 2

08:30 – 09:00 Online Check-In

09:00 – 09:05 Welcome and Introduction to Day 2

09:05 – 09:45 Trade-based Money Laundering

Topics include:

- Price checking and over/under invoicing
- Open account trades
- Complicated STR/SAR filings drive TBML
- Time for STR/SAR reporting standards?

Moderator: Neil CHANTRY (Specialist Consultant)

Panelists: Alexander MALAKET (OPUS Advisory/Consultant to ADB); Hugo VERSCHOREN (goVer Trade Technologies); Graham BALDOCK (Anglo Gulf Trade Bank); Kaushika RUWANGALLA (HSBC)

09:45 – 10:25 Trade Sanctions

Topics include:

- The Biden Administration: 100+ day report card
- Russia | Iran | North Korea | Argentina
- EU / US
- Myanmar: real time dealings with business co-owned by a sanctioned military
- OFAC enforcement trends for 2021 and beyond
- China's new Export Control Law and competing dual use goods lists

Moderator: Saskia RIETBROEK (ACSS)

Panelists: Sally PENG (FTI Consulting); Herman ANNINK (RSM Netherlands), Sven BATES (Baker McKenzie)

10:25 – 10:35 Virtual Coffee Break

10:35 – 11:15 Technology and Trade Based Financial Crimes

Topics include

- Using AI, ship registry data, and GPS
- Fintech/Regtech solutions and Cost-Benefit Analysis
- Big bank v. small bank resourcing
- Virtual Training for bank's AML and trade staff
- Use of technology and waiver of liability: Who takes responsibility? No one . . .

Moderator: Radish SINGH (Deloitte)

Panelists: Manoj SAXENA (TradeSun); Antoine KARAM (UNODC); Alexon BELL (Quantexa); Kaushika RUWANGALLA (HSBC)

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Agenda Thursday, May 20 - DAY 2

11:15 – 11:45 Containerisation and False Red Flags

Topics include:

- B/L and actual shipment do not match
- Is it an OFAC violation?
- When is a red flag not a red flag?
- Do we need vessel and container tracking?
- Trans-shipment and fraud

Moderator: JOHN TURNBULL (Bank ABC)

Panelists: George DEVEREESE (IHS Markit); Eric JOHNSON (Journal of Commerce); Jeffrey BLUM (Maritime Specialist); David CUCKNEY (IMB)

11:45 – 11:55 Virtual Coffee Break

11:55 – 12:30 Trade Fraud in 2021: hindsight is 20/20

- COVID vaccine and PPE fraud
- Manage and mitigate fraud exposure
- Asia commodities fraud?
- Solo Industries: lessons forgotten
- Commodities financing - the recent bankruptcies

Moderator: Vin O'BRIEN (ICC UAE)

Panelists: Neil CHANTRY (Specialist Consultant); John TURNBULL (Bank ABC); Alexander RESCH (INTERPOL)

12:30 – 12:50 Wrap UP and Q&A PANEL

- The Intersection of Technology, Experience, and Advice into a Compliance Framework you can use
- Key takeaways from the conference
- Certificate in Trade Finance Compliance (CTFC)
- Q&A – Conference Committee

Moderator: Neil CHANTRY (Specialist Consultant)

Panelists: Alex GRAY (LIBF); Michael BYRNE (IIBLP); Derek ENNIS (Coastline Solutions)

12:50 – 13:00 Closing Remarks (and prize draw)

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Speaker Bio

List of Panelists



Alexander Resch: INTERPOL - specialized officer in the Financial Crime Unit

Alexander Resch is a police officer in the function of a chief superintendent at the Bavarian State Police Forces of the Federal Republic of Germany.

He has worked as a law enforcer and investigator for more than 20 years and gathered broad experience in combatting and tackling various phenomena and types of crime.

He was awarded the degree “Master of Arts - Police Management” of the German Police University. Since 2017 he is seconded to the General Secretariat of INTERPOL and working as a specialized officer in the team of the Financial Crimes Unit, which is responsible of the broad field of financial and economic crime, including money laundering.”



Alex Gray: Head of Trade and Transaction Banking, LIBF

Alex Gray as Head of Trade and Transactional Banking at LIBF is responsible for all of their Trade qualifications and training. He joined LIBF after 30 years in international banking which saw him conduct a number of different banking roles overseas as part of HSBC’s International Manager cadre. Within that time he specialised in Trade Finance and led teams in India, Hong Kong, Taiwan, Vancouver and the UK.

At HSBC Alex developed their first Anti Trade Based Money Laundering programme adopted across the Group globally. His awareness of Trade Based Financial Crime was heightened further when he and his team of 200 had to prepare for a visit from the US Department of Justice under HSBC’s DPA. In addition to his full time role at LIBF, Alex is a Trade Services Consultant for TradeSun, the document and compliance checking AI platform.



Alexander R. Malaket: OPUS Advisory Services Int'l In

Alexander R. Malaket, CITP, CTFP, GTP-E, is President of Canadian consultancy OPUS Advisory Services International Inc., Co-Founder of London-based ESG Validation Ltd., and Founding Partner, Prism Global Partners, LLP based in London. Alexander has undertaken a range of advisory and consultancy engagements around the world, and contributes to top-level advocacy through the UN, WTO, B20 and the International Chamber of Commerce, among others. He has researched and authored thought leadership reports, program assessments and reviews, public and international policy reports and has participated in or chaired numerous international initiatives for industry bodies and other institutions.

Mr. Malaket is an internationally recognized expert, contributing regularly to industry publications and at top-tier conferences and events. Alexander is the author of "Financing Trade and International Supply Chains", Taylor & Francis UK 2014. Alexander holds the designations of Certified International Trade Professional (FITT, Ottawa) and Certified Trade Finance Professional (ICC Academy, Singapore), and Global Trade Professional – Executive (GTPA, Australia). Mr. Malaket advises several FinTech start-ups and has been nominated, elected or invited to contribute to various international boards and advisory bodies.



Alexon Bell: Chief Product Officer, Quantexa

Alexon has more than 20 years' experience helping global organisations meet their AML regulation requirements. By creating a new approach to AML monitoring, Alexon works closely with customers to build, deploy and optimise AML systems across numerous areas, including trade and correspondent bank, to reduce cost and risk. He transforms the way businesses work with data to improve compliance, investigation and KYC processes to successfully detect criminal activity, such as money laundering, human trafficking and terrorist financing.



Ana Kavtaradze: Managing Director, Trade Force Global Consulting

Ana Kavtaradze is an Advisor to Commercial Director at BASISBANK Georgia, in charge of Strategic Business Development of the Bank's Business line. With 15+ years' experience in trade finance, supply chain finance (SCF), global banking, client relationship management, business strategy formulation, as well as cutting-edge innovation and digitalization Ana has expanded Global Banking network bringing in full scope business cooperation opportunities including Funding, Trade, Treasury, and Correspondent Banking.

With a performance driven and resourceful leadership in her capacity leading Trade & Structured Finance Business at Georgia's over a decade Ana liaised multi-cultural stakeholders/customers, with a focus on managing/expanding business with global banks, IFI's, rule makers across the Globe in the domain of Global Banking.

Laterally to her Banking carrier, in her private consultancy capacity Ana provided technical advisory to Private and Public Sectors with focus on market development, implementing effective, innovative and digital business solutions in international trade, transaction banking, transport/logistics, customs, e-services on Trade and Supply Chain finance domain involving complex banking/funding structures and de-risking techniques.

Ana has broad experience cooperating with commercial banks and financial institution worldwide and strong knowledge and coverage of regional business environment. Over the years, she has been a frequent speaker at Global Banking events and conferences worldwide. Ana has been a regular provider of workshops and webinars globally for corporates, SME's, trade finance professionals, bankers as well as government agencies and regulators.

Passionate towards development of International Banking and Trade & SCF Business Ana has organized and managed various global events related to Trade and Supply Chain Finance throughout last 5 years, including playing and instrumental managing role for ICC Georgia & ICC China partnership 'Silk Road Technical Trade Forum' in Tbilisi, ICC Banking Commission Meeting Technical Meeting in Tbilisi, FCI Factoring Conference in Tbilisi.

Ana headed Trade and Structured Finance Department at one of the largest UK premium listed bank in Georgia, Bank of Georgia (BOG) over a decade. Represents an Executive Member of Banking Commission, International Chamber of Commerce (ICC) Paris since 2017. Editorial Advisory Board Member, Documentary Credit World (DCW) USA and Trade & Investment commission co-chair, International Chamber of Commerce (ICC) Georgia.

Ana graduated with honors from Tbilisi State University, Georgia with Master's Degree in Banking and Finance.



Antoine Karam: Head of the Software Products for Member States unit at the United Nations Office on Drugs and Crime

I am the Head of the Software Products for Member States unit at the United Nations Office on Drugs and Crime. This section actively develops a suite of innovative software deployed at Member States to operationalize UNODC's mandates in countering corruption, controlling illicit drugs and fighting financial and organized crime. Today, the goAML application for combatting money laundering and terrorist financing, is adopted by 56 countries with over 100,000 users in the Financial Intelligence sector worldwide.

Prior to this experience, I was managing the Costing Study project at the Chief Executives Board in Geneva, to define a common strategy in delivering IT services programmatically at the United Nations. Earlier experiences include various responsibilities in Technical Assistance and Information Technology development, at the UN and the private market, spending several years in Vienna, New York, and Beirut. I am Lebanese-Armenian and am currently working on my Doctorate in Machine Learning in Vienna, have a Masters in Business Administration and a Bachelor in Computer and Communications Engineering.



Byron McKinney: Director, Maritime & Trade, IHS Markit

Byron McKINNEY is the product director for trade compliance solutions at IHS Markit, his focus is on the automation and simplification of the compliance and workflow process within trade finance.

He has over 15 years of experience in trade finance and commodity trading most recently from Accuity, where he led the business team in designing and delivering dual-use goods identification and vessel monitoring for the banking and cargo markets. Previously, he worked at Thomson Reuters in energy and shipping with time spent on developing cargo tracking models and price forecasting applications and also as a coal analyst covering the South African and European sectors. Mr. McKinney holds a degree in history and Iranian studies.



David Cuckney : Assistant Director – ICC International Maritime Bureau (IMB)

David joined the IMB in 2007 having previously worked in the Middle East in the Oil and Gas sector.

He assists in overseeing the daily operations of the IMB's London activities. In addition to advising member banks with suspect or irregular presentations, also co-ordinates with the IMB's trading, shipping and insurance company members with regards to loss prevention and advice.

Has carried out investigations into several large-scale shipping and financial frauds; identifying those responsible and providing recommendations for improved working practices. Conducted several on the ground investigations into smuggling and cargo mis-declaration.

Has spoken at numerous conferences and seminars worldwide about documentary and insurance fraud, cargo theft and maritime sanctions.



Eric Johnson: Journal of Commerce Senior Editor

Eric Johnson is the Journal of Commerce Senior Editor, Technology, where he leads coverage and analysis of technology's impact on global logistics and trade. Johnson regularly reports on how shippers, carriers across all modes, and logistics companies use software, as well as new concepts impacting core freight transportation processes like procurement, execution, visibility, and payment.

Johnson is a regular presenter and moderator at industry events and webinars. Prior to joining the JOC in May 2018, Johnson spent 13 years with American Shipper in a variety of roles, most recently covering logistics technology and leading the production of a series of benchmark studies on the logistics industry.

Johnson has a bachelor's in journalism from the University of Wisconsin and a master's in international business from the University of Leeds, UK. He has lived and worked in Southern California, the UK, and India, and now resides in the Washington, D.C., area.



Gabriele Katz: Director, Deutsche Bank AG, Germany

Gabriele Katz is in charge of Global Transaction Banking in Product Management for the Documentary Trade Business for Europe and MENA. She has a more than 30 years' experience in the documentary and guarantee business.

After her apprenticeship at Deutsche Bank AG, Freiburg, Germany she earned a degree as Bankfachwirt from the Bankakademie in Germany and also is certified as a training supervisor of the Chamber of Industry and Commerce, Düsseldorf, Germany. She is also member of the National Committees of the ICC Banking Commission in Germany.



Geoffrey Wynne: Head of Sullivan & Worcester's London

Geoffrey Wynne is head of Sullivan & Worcester's London office and also head of its award winning Trade & Export Finance Group. Geoff is one of the leading trade finance lawyers. He has extensive experience in many aspects of banking and finance, specifically trade and structured trade and commodity finance and related legal and compliance issues. He has recently been involved in a number of initiatives for trade finance in the digital world including digital payment obligations including the use of LIBOR in the BAFT MPAs of which he was a key draftsman.

Geoff sits on the editorial boards of a number of publications and is a regular contributor and speaker at conferences. Geoff is a member of ITFA's Market Practices Committee (MPC) and has been assisting with a number of key legal issues relating to trade and export finance. Geoff is currently Co-Chair of the ICC Committee writing the Uniform Rules for Digital Trade Transactions (URDTT).

In Chambers and Partners Geoff is ranked a Tier 1 lawyer for Commodities: Trade Finance. He holds a Fellowship award for trade finance from Trade and Forfeiting Review and is recognised in the UK Legal 500's "Hall of Fame".



George Devereese: Maritime Risk and Compliance Product Manager

DEVEREESE is an ex Royal Naval Officer. He joined the Royal Navy in 2007 and after passing out of Britannia Royal Navy College he served as a Warfare Officer in a number of hull types including Aircraft Carriers, Destroyers, Frigates & Minehunters in global waterways. He conducted tours in the Indian Ocean, Red Sea, Gulfs of Oman and Aden conducting anti-piracy and maritime interdiction operations as well as serving in the Fishery Protection Squadron in UK waters and trained as a Mine Warfare Officer. He also served as Officer in Command Rear Party Afghanistan and Battle Watch Officer for Combined Maritime Force in Bahrain. He transferred to the Reserve List in 2013 where he served with the United Kingdom Maritime Trade Operations until 2015. He has subsequently been granted Associate Fellowship of the Royal Institute of Navigation and the Freedom of the City of London and is a Liveryman of the Worshipful Company of Shipwrights.

Since leaving the Royal Navy he has continued to work in the maritime sector, both for commercial liners as Deputy Designated Person Ashore / Company Security Officer focusing on internal safety and security inspection of the Fleet gaining experience in bulk carries, container vessels and Cruise Liners. Latterly he has worked in the Lloyds and London Maritime Insurance Markets as a claims handler and then in the P&I market as Senior Loss Prevention Executive for an International Group Club.

DEVEREESE started working at IHS Markit in February 2020 where he is the Maritime Risk and Compliance Product Manager tasked with developing IHS Markit's Maritime Solutions including the Maritime Intelligence Risk Suite (MIRS) and Maritime Portal.



Graham Baldock: Chief Compliance Officer/MLRO at Anglo-Gulf Trade Bank

Graham Baldock is currently the Chief Compliance Officer/Money Laundering Reporting Officer (MLRO) for Anglo-Gulf Trade Bank (AGTB) in Abu Dhabi. Prior to joining AGTB, Graham was the Global Head of Financial Crime Compliance for HSBC in London. Graham has over 15 years compliance experience across the disciplines, supported by a number of industry certificates most recently a Cryptocurrency Investigator certificate.

Graham holds a Professional Doctorate in Criminal Justice graduating in 2019 his research thesis focused on the cross-jurisdiction comparison of corruption. He also holds a MSc in Forensic Accounting and a BSc in Counter Fraud and Criminal Justice studies all obtained through the University of Portsmouth in the UK.

Over the years Graham has held several industry forum roles most recently being the co-chair of the International Chamber of Commerce (ICC) Financial Crime Risk & Policy Group. He sits on the ACAMs Sanctions Education Working Group, Wolfsberg Trade Finance Principles Working Group and acts in an advisory position to the newly formed MENA Chapter for the Global Coalition to Fight Financial Crime.



Herman Annink: RSM Netherlands

Herman Annink (1969) has over 25 years experience in the financial industry in applying, organising and auditing of compliance with EU, US and Dutch banking regulations, security regulations, AML / CTF, sanctions and export control regulations. He participated in (inter-)national working groups on banking supervision, governance, AML/CTF (e.g. FATF, IMF/Worldbank, FEC).

He is a specialist in EU and US sanctions and export control regulations in Aerospace & Defense, financial institutions, logistical service providers, pharmaceutical industry, and oil and gaz. He represents the A&D industry as chair of the Compliance Workgroup of the Foundation of the Dutch Defense and Security Industry and in the ASD Brussels, which advises The European Commission on export control matters.

He lectured staff at Dutch Ministry of Defense, international financial institutions, logistic service providers and manufacturers in A&D on sanctions and export controls.



Hugo Verschoren: goVer Trade Technologies Ltd.

Hugo Verschoren is since the summer of 2018 an independent consultant, and owner of goVer Trade Technologies Ltd (www.govertradetechnologies.com). Joined ING (Formerly - Banque Bruxelles Lambert) in the Letter of Credit Operations Department in Antwerp, Belgium in 1978. After several occupations within BBL and ING in Financial Markets, Payment Sales and Corporate Clients, he moved to Amsterdam in 2010 as Senior Product Manager Trade Finance Services for ING Group.

Afterwards, in 2015, back in Belgium as Chief Expert Trade Finance Services and Manager of the Middle Office, Trade Finance Services. Besides that involved in a number of ICC activities as member of the Dutch and (now) Belgium National Committee. Project Advisor to the ICC Trade Register Group. Member of the ICC Regulatory Advocacy Group, the ICC Financial Crime Risk and Policy Group, and the ICC working group Digitalisation in Trade Finance. ICC registered Incoterms® trainer. Manager of the LinkedIn discussion group Trade Finance (about 40k members). Provider of trainings and presentations, and a frequent speaker at conferences world-wide.



Jeffrey Blum: Maritime Specialist

Jeffrey Blum has been involved in shipping and trading since 1972. He is the fourth generation of a shipping and logistics family, a member of the Baltic Exchange since 1976 and currently the Chairman of its Baltic Expert Witness Association, having been an expert witness since 1984 and a maritime arbitrator since 1994. Jeffrey has worked in London and abroad with a Lloyd's underwriter, a Lloyd's broker and as a freight forwarder, liner broker, shipbroker, ship owner, ship operator, gasoil futures broker, charterer and commodities trader.

He founded Interlink International Trading (UK) Ltd in 1994 to provide maritime commercial claims consultancy and global bespoke corporate training to many varied commercial users and several governments. He also founded his private college Maritime Education & Training Ltd (METL) in 2002.



John Turnbull: Director at Certis International Limited

John Turnbull is an Executive Advisor at ABC International Bank, London, CEO of Certis International Ltd and a Director of GBRW Expert Witness. A senior banker and trade finance specialist with over 40 years experience of origination, negotiation, structuring, risk management and regulation of the full range of international trade transactions. Formerly Joint General Manager and Global Head of Structured Trade and Commodity Finance at Sumitomo Mitsui Banking Corporation, John has acted as expert witness in a number of high-profile trade finance legal cases in London, Singapore and Hong Kong.

He was co-chair of the ICC Commission on Banking Technique and Practice's Consulting Group on the most recent revision of the UCP/ ISBP, former chair of the Association of Foreign Banks Trade Finance Committee, Current Chairman of the ICC UK Banking Committee and member of the ICC Banking Commission Global Financial Crime Committee and of the joint ICC, Wolfsberg, BAFT Trade Principles Drafting Group.

He is Chairman of ICC UK Banking Committee and Chair of the ICC UK Trade Finance, Financial Crime, Risk and Policy committee. Member of the AFB Working Group re-drafting of the JMLSG guidance (Part II) on Trade Finance – Sector 15. Representative on many national and international trade committees and boards including the US division of the International Energy Credit Association, the IECA Europe Committee.



Julien Laurent

Julien Laurent is responsible for the Group-IB Fraud Hunting platform. Julien brings over 15 years of experience fighting Financial Crime supporting financial institutions globally. Julien previously worked for organizations such as SWIFT, Schlumberger, Reed Elsevier. Bringing a wealth of experience both from a technological and practical point of view.



Kamola Makhmudova: Senior Banker, Financial Institutions Team; Trade Facilitation Programme (TFP); European Bank for Reconstruction and Development (EBRD)

Kamola Makhmudova is a Senior Banker at the EBRD, working in the Financial Institutions department's TFP team. Here she leads the TFP's policy dialogue on the development of trade finance and compliance, access to trade finance for small and medium size businesses, as well as a number of capacity development projects, including the internationally accredited EBRD Trade Finance e-Learning Programme. Her daily work involves approving transactions in all the economies where the EBRD invests, and developing trade finance limits for new partner banks. Kamola is also founder and editor of the EBRD magazine Trade Exchange.

Kamola came to the TFP from the EBRD's Transport, Power and Energy Utilities departments, and has broad experience in emerging market economies, working on debt, equity and complex project finance transactions in both the private and public sectors.

Kamola began her career in 1997 at ABN AMRO Bank, where she worked in Corporate Banking and the Customer Services Department.

Kamola's expertise is also recognised externally; she is a member of the Correspondent Banking Coordination Group, at the Financial Stability Board, IMF and WTO on global and regional efforts, to enhance the coordination of capacity development activities, where she represents the EBRD and contributes to the policymaking and thinking on global challenges of de-risking and access to international trade finance. She holds Msc in Accounting and Finance and MBA from the University of Cambridge.



Kaushika Ruwangalla: Global Head of Financial Crime Compliance - Global Trade Finance at HSBC

Kaushika is currently the Global Head of Financial Crime Compliance of HSBC's Global Trade & Receivables Finance, the world's largest trade finance bank.

He has broad-ranging experience in Risk at a senior leadership level across Trade Finance, Payments, Wholesale & Retail Banking with specialism in AML, Sanctions, Transaction Monitoring, Fraud, Operational Risk and Regulatory Compliance including Conduct Risk.



Lorna Strong: Deputy General Counsel for HSBC Global Trade & Receivables Finance (GTRF)

Lorna Strong, Deputy General Counsel for HSBC Global Trade & Receivables Finance (GTRF), acts as the primary legal advisor for GTRF's operations globally; advising GTRF and playing a role in shaping HSBC's contribution to regulatory and policy debates on trade finance. She provides global oversight, coordination, and training for legal counsel in over 40 jurisdictions. Lorna and her Global Legal team have been instrumental in advising innovative digital solutions for trade finance, including the first financial trade blockchain transactions: the award winning blockchain platforms we.trade and Contour. In 2020, Lorna and her team were instrumental in managing the response to the disruption of global trade due to COVID-19 and as member of the ICC (International Chamber of Commerce) Legal Committee, Lorna drafted industry guidance papers dealing with the risk of force majeure as well as the mitigation of economic sanction risk.

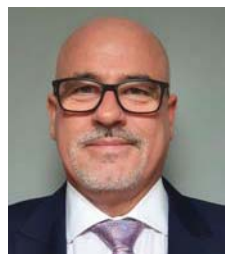
Lorna holds a doctorate in law and a bachelor of applied science from the University of British Columbia and has been recognized in the areas of banking law, trade finance, and international law, including as a recipient of the 2012 Global Counsel Award for Regulatory (Financial Services): Individual of the Year and the 2017 Letter of Credit Lawyer of the Year.



Manoj Saxena: Chief Product Officer at TradeSun®, Inc.

Manoj Saxena is the Chief Product Officer at Tradesun Inc, the AI tool for trade document and compliance checking, focused on product development and the strategic direction of current and future products. In addition he is responsible for developing partnerships with banks, trade finance industry bodies and technology partners.

Manoj's experience in Corporate Banking and Trade Finance spans over thirty years, including ten years with Citibank and the last nine years as Chief Technology Officer for Global Trade at JPMorgan Chase where he was responsible for transforming the technology infrastructure and developing their new global back-office processing platform. This included building technology solutions for compliance and TBML functions for the business. Manoj has also worked on digitalization and intelligent automation for document examination using Machine Learning and AI.



Michael Howlett: Director, ICC International Maritime Bureau (IMB)

Michael joined the ICC International Maritime Bureau (IMB) in May 1994 and closely co-ordinates with the IMB's banking, shipping, insurance and trading company members with regards to loss prevention and advice.

Michael has been instrumental in identifying systematic international fraudsters, invited to provide evidence and appear as a witness in trade related criminal cases and assisted in the investigation of the largest fraud in trade finance history. As part of his duties Michael has also investigated a number of cases worldwide relating to cargo losses, the suspicious sinking of vessels and their cargoes and the phenomena known as phantom ships.

He has travelled on investigations to a number of countries, spoken at numerous conferences and seminars worldwide and written papers on areas connected with the subject of piracy, fraud and malpractice in trade finance and international trade.

In January 2020, Michael became the CEO of ICC Commercial Crime Services – the anti-crime unit of the International Chamber of Commerce – of which IMB is a part.



Neil Chantry: Specialist Consultant

Neil spent 43 years with the HSBC Group, half on their international management and half in the Group Head office in London specialising in trade finance.

He retired at the end of 2015 as global head of policy and compliance, Global Trade and Receivables Finance. He was also the former head of the ICC Banking Commission Executive committee and chair of the Financial Crimes Compliance group and former chair of the Wolfsberg Group Trade Finance working group.



Radish Singh: Partner & SEA Financial Crime Compliance Leader Deloitte

Radish leads the Anti-Money Laundering ("AML") team within Deloitte Forensic in Singapore and Southeast Asia. She has extensive experience in Compliance and AML, corporate governance, risk and financial services regulations.



Sally Peng: Managing Director, FTI Consulting

Sally Peng is a Managing Director in the Export Controls & Sanctions practice at FTI Consulting and is based in Hong Kong. She is an expert in export controls and economic sanctions, international trade strategy, and global supply chain optimisation and compliance.

Sally has extensive experience advising public-listed companies on their complex encryption programmes under US and Hong Kong laws and in other Asia Pacific jurisdictions, including representing her clients in front of relevant government agencies in those jurisdictions. She also advises several China-based clients regarding US sanctions regulations and has performed on-site impact analysis. In addition, she works closely with her clients' legal, procurement and logistics teams to build best-in-class Export Control and Sanction compliance programmes. Her industry coverage includes banks, telecommunications, national defense contractors, heavy machinery, and research universities.



Saskia Rietbroek: Executive Director at Association of Certified Sanctions Specialists

Saskia is the Executive Director and Co-Founder of the Association of Certified Sanctions Specialists (ACSS), a professional membership body for sanctions professionals worldwide. She is a Certified Sanctions Specialist (CSS) and Certified Anti-Money Laundering Specialist (CAMS) and an industry leader in financial crime topics. Saskia has over 15 years of Sanctions/AML experience in the U.S., Latin America and Europe. Her global footprint enables Saskia to apply valuable expertise and insight into international training and financial crime compliance projects.

She is a frequent speaker in English, Spanish and Dutch on a variety of financial crime topics.

She earned law degrees from Leiden University (Netherlands) and Universidad La Católica (Lima, Peru), and was admitted to the Lima Bar Association. She also holds an international MBA from Florida International University. She speaks fluent Dutch, English and Spanish, as well as basic German.



SOH Chee Seng: Technical Consultant on Trade Finance

SOH Chee Seng is Non-Exclusive Technical Consultant on Trade Finance Issues for the Association of Banks in Singapore and some international banks in Asia Pacific. He has more than 25 years experience in trade finance operations with local and foreign banks in Singapore and Malaysia. He served as a member of the UCP600 Drafting Group commissioned by the ICC Banking Commission to revise UCP500. He served as a member of the task force on international standard banking practice for documentary credits. Dr. Soh is also a member of the Panel of Experts, International Chambers of Commerce (ICC) Rules for Documentary Credit Dispute Resolution Expertise (DOCDEX).

Dr Soh has been invited by a number of financial institutions and bankers associations in South East Asia to conduct a series of workshops on international trade finance, risks in trade finance, ISBP, UCP, ISP98 and Incoterms 2010. He received his Bachelor of Commerce degree with first class honours major in Economics from Nanyang University (Singapore) in 1973.

He received his PhD in Law from the China University of Political Science and Law in 2011. Dr Soh is also co-author of UCP600: AN ANALYTICAL COMMENTARY with Late Prof. James E. Byrne.



Sven Bates: Counsel for International Trade at Baker McKenzie

Sven has spent over 10 years at the firm, including a secondment to a FTSE 100 bank, and has previously worked for the European Commission and the Shadow Attorney General. Sven's practice focusses on a comprehensive spectrum of trade compliance areas, including export controls, sanctions, trade remedies, foreign investment rules and anti-bribery. Sven has significant multi-jurisdictional experience in advising in these fields in the context compliance and investigations and broader government engagement.

Sven has supported a number of clients in connection with investigations by the UK (and other) authorities and has counselled companies on negotiations with the highest levels of government on approaches to sensitive licensing matters and amending new legislation. Sven has also advised extensively on the application of trade compliance and foreign investment rules to global mergers and acquisitions. Sven's expertise and profile is reflected in the Legal 500, where he is ranked as one of the top 10 lawyers in the City for international trade compliance. Sven is also a regular speaker at external events hosted by the Financial Conduct Authority and is periodically quoted in the Financial Times and other press articles, reflecting his experience in the financial services sector in particular.



Vin O'Brien: ICC UAE

Vincent O'BRIEN is Member Executive Committee of ICC Banking Commission and Director of the International Chamber of Commerce, United Arab Emirates.

He has been actively involved in trade finance for more than a quarter of a century and has delivered technical assistance for trade finance in more than 100 countries. Vincent's primary activity is trade facilitation with the major Multilateral Development Banks and his recognized specialty is trade related dispute resolution where he often acts as Expert Witness in Trade Disputes and Legal Cases.

Vincent also holds the position of Associate Director of the Institute of International Banking Law and Practice (IIBLP) and acts as Advisor on Innovation and Market Intelligence at China Systems Corporation. He may be contacted at: vob@iccuae.com



Vincent C Soegijanto: Head of Transaction Banking, Maybank

Vincent joined Maybank Malaysia in June 2018 as Head of Transaction Banking Malaysia. His responsibility is to lead a team that provide the whole range of non-individual clients with a breadth of services and solutions in Cash Management, Trade Services and Working Capital Financing solutions. Maybank is the biggest transaction bank in Malaysia by market share in Non-Retail Deposit and in both Funded and Unfunded Trade.

Graduated with an Economic degree from Tarumanegara University, Indonesia. He also obtained prestigious professional qualifications from well-known recognized institution e.g. Certified Documentary Credit Specialist (CDCS), Certified International Trade Finance (CITF), Certified Specialist in Demand Guarantee (CSDG) From London Institute of Banking and Finance-UK, Certified Treasury Professional (CTP) from Association of Finance Professional-USA and Level 4 Certified Risk Management from Global Association of Risk Professional (BSMR). He is currently taking a Strategic Fintech Program with Imperial College in London.

An experienced banker with 25 years+ of experience in managing commercial and transaction banking business across multiple geography and segments. He has worked in Indonesia, Hong Kong, Middle East and Malaysia with BCA, ABN AMRO, Rabobank, HSBC and Citibank. Vincent is also a board member of International Chamber of Commerce Malaysia.

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Sponsors



Maritime and Trade Capabilities for Trade Finance & Compliance

Regulation covering Trade Finance continues to grow, from the latest OFAC advisory notices on North Korean illicit shipping practices to new guidelines on identifying and managing red flags from the Wolfsberg Group, Financial Action Task Force and the Monetary Authority of Singapore.

Understanding the levels of risk associated with any trade begins with the customer on-boarding process and the financing details and counterparties involved. There is also the detail of the trade; what commodity is being shipped, the destination of the shipment, the price of the commodity and its volume, tracking its journey in real-time and ensuring that documentation surrounding the transaction meets agreed standards.

IHS Markit is uniquely placed to help financial institutions uncover red flags through the use of rich datasets. Discover our unique product solutions that support all areas across the trade compliance workflow.



Know your customer (KYC)

Who is your customer and what are their business activities?

The ability to perform client due diligence on public and private entity information including corporate registration details, high-risk countries and industry assessments, financial information, company hierarchy and ownership is a major component in the validation process.



Document processing with OCR technology

Manage the extraction of key data fields from trade documents

The ability to digitise paper files used in documentary credits and other trade finance products is a core enhancement on the path to a more efficient trade finance operation, minimising the time and effort taken to detach and screen content against various sanction watch-lists.



Vessel identification and sanctions screening

Who is the owner and operator of the vessel identified in the transportation document?

Vessels are often the subject of sanctions and it is important that checks by trade finance teams can reference all vessels and their owners who are associated with sanctioned activity. A 'Seven Levels of Ownership' is employed to determine if the vessels are connected with a sanctioned group or party on the OFAC, UN or EU watch-lists.



Import and export statistics

How to identify if the shipment of goods makes economic sense

With an extensive trade database providing insights into the movement of goods around the world, a direct line of sight is available highlighting what a country exports and imports. Through the use of such an extensive dataset, trade finance practitioners can determine if a transportation document stating that coal is being shipped and discharged at Richards Bay, South Africa makes sound, economic sense.



Vessel tracking – real-time and historical

Where is the vessel going, where has it been, and has it engaged in any suspicious activity in high-risk locations?

AIS vessel tracking technology allows customers to monitor the vessel on its current journey and also pinpoint its previous voyages as a means to identify any sanctioned port calls. Furthermore, the implementation of this technology also highlights activity by the vessel in terms of ship-to-ship cargo transfers or 'going dark'.



Dual-use goods screening

Can the commodity be used for both civilian and military purposes?

The identification of an item as dual-use is difficult. Trying to determine if resin yarn or rubbing alcohol is used in the production process of a military item poses a challenge. To help in this process a multi-level mapping of commodity names and codes facilitates the search for a dual-use item on the European Union 428/2009 dual-use document.



Commodity classification & pricing

What is the true cost of the goods being transported?

All tradable commodities are assigned to their relevant Harmonised System (HS) code with a corresponding value and unit price assisting with the analysis of the true costs of traded goods. Our Global Trade Statistics uses official import and export statistics from sources around the world and compiles this into a comprehensive database of merchandise trade covering 200 countries.

To find out more about Maritime & Trade solutions from IHS Markit visit ihsmarkit.com/maritime_trade

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About IHS Markit

IHS Markit (Nasdaq: INFO) is a world leader in critical information, analytics and solutions for the major industries and markets that drive economies worldwide. The company delivers next-generation information, analytics and solutions to customers in business, finance and government, improving their operational efficiency and providing deep insights that lead to well-informed, confident decisions. IHS Markit has more than 50,000 key business and government customers, including 80 percent of the Fortune Global 500 and the world's leading financial institutions. Headquartered in London, IHS Markit is committed to sustainable, profitable growth.



Transforming Trade Finance

TECHNOLOGY THAT DELIVERS - TRADE FOR EVERYONE

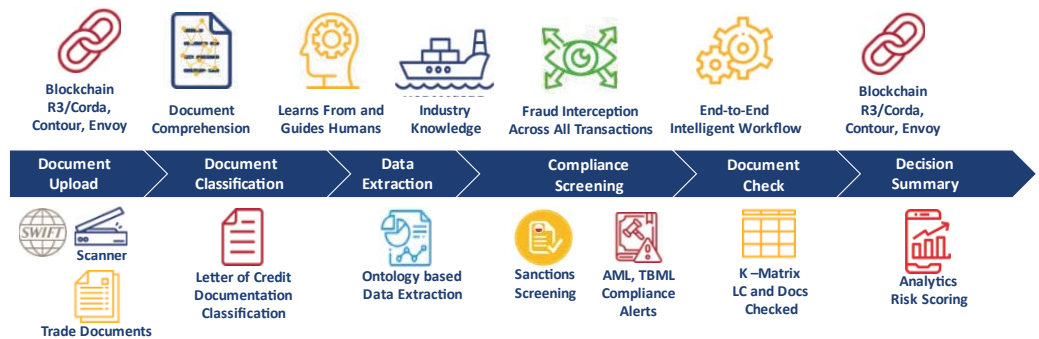
Overview

Today's global trade finance industry is like a 10-lane highway that narrows to a one-lane bottleneck once it hits the manual documentation review process. To relieve this congestion, global banks and trading companies must automate this labor and data intensive process. Third-party solution providers have failed to solve this problem by focusing solely on trade, not the technology required to rapidly automate it.

TradeSun's trade finance platform features AI-native technology that augments human behavior by learning how employees interact with trade finance documents. It was intentionally designed to focus on this industry-wide bottleneck challenge.

TradeSun's fusion technology harnesses our native AI platform trained by data scientists and trade experts with intelligence from live sensors and historical sources that has taken on a life of continual cognitive self-learning. As it learns, the platform begins to understand what an error is, where signatures are and what key terms are missing. This increases effectiveness while drastically lowering operating costs with infinite scalability.

Version 3.0, development based on 10+ years' experience



Document capture

Physical documents are intelligently captured and digitized. This is where AI-enabled learning begins, including document type, key content variables, templates, etc.

Data extraction

All types of form-field data—including structured and unstructured information—are extracted with precision and normalized for easy decisioning. Natural language processing accelerates comprehensive analysis and avails human annotation.

Document classification

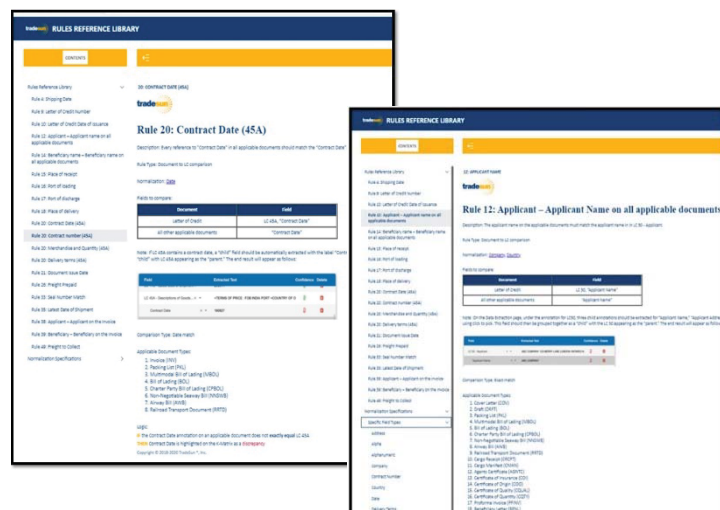
Trade documents—such as letter of credit, bill of lading and insurance forms—are automatically classified via supervised learning.

Document check

The TradeSun platform automatically checks all data against compliance and business rules—and any discrepancies are identified. This speeds up decision-making, such as “pay or reject.”

Comprehensive "TradeSun" Rules Reference Library

Enhanced Rule Set Customization: TradeSun can be augmented and customized by Clients using custom configurations for rules and settings.



Benefits for Trade Finance Processing

- Automation of data capture from trade documents using intelligent cognitive processing
- Automation of document checking resulting in faster and more accurate payment decisions
- Automation of compliance checks including OFAC, WorldCheck and other internal and external compliance databases
- Intelligent decision support for AML red flag processing/ analysis including COGS data storage
- Mitigation of the risk of costly regulatory fines and penalties
- Provides a data repository for streamlining client inquiries
- Delivers the full scope of real-time analytics and reporting on productivity and error tracking

A note from Nigel Hook, CEO of TradeSun, Inc

“We’re rolling out unique capabilities leveraged from our product experience with the US Department of Defense, Intelligent Agencies and International Law Enforcement. As a member of the FBI Citizens Academy, I’m proud to see our product contribute to the battle against financial crimes and help level the playing field for fair trade.”

Your AI Partner for Trade Finance

Global trade finance parties need a partner who can provide a secure platform to automate their manual, error-prone documentation review and compliance checks. The TradeSun platform mitigates risks and saves time by quickly locating potential compliance violations and missing elements, such as signatures or incorrect calculations. TradeSun's dedicated support team and AI-driven onboarding means you can be productive on day one.

Let us show you how to get it done!

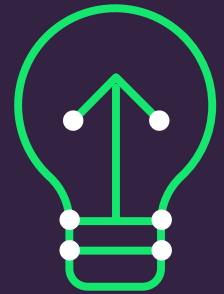
Contact:

David Ingersoll
Chief Sales Officer
DIngersoll@TradeSun.com
US +1 (925) 247-4055 – Mobile
US +1 (858) 755-3800 – Office
Del Mar, California

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Dynamically generate context to automate millions of operational decisions at scale with **Contextual Decision Intelligence**



90%
more accuracy



60
times faster



Scale
billions
of records



Remove 90%
of manual processes



Overview

Despite massive infrastructure investments, legacy-burdened, data-intensive organizations are sitting on mountains of data and struggling to realize value.

Contextual Decision Intelligence (CDI) is a new approach to data that gives organizations the ability to connect internal and external data sets to provide a single view enriched with intelligence about the relationships between people, places and organizations.

CDI helps your organization overcome data quality issues and deliver the context needed to make better decisions, faster.

With CDI you can:

- ✓ Maximize infrastructure investments
- ✓ See a dynamic view of all internal and external data
- ✓ Generate greater value for more effective decisions
- ✓ Solve the need for better data quality
- ✓ Make your operational teams faster and more effective
- ✓ Increase transparency & confidence, minimize risk



Why Quantexa

Working with Tier 1 global organizations across banking, insurance and government, Quantexa uniquely uses the power of context and networks to uncover hidden risk and discover new opportunities.

We believe in an ecosystem approach that leverages open architecture to allow seamless integration to existing systems and assures no 'rip and replace'.

1. **Dynamic:** Our dynamic data model means you can ingest once and use the same build for multiple use cases
2. **Extensible:** A flexible platform that integrates seamlessly into your existing IT ecosystem – in any environment (SaaS or on-premise), handling any data, in real time or batch
3. **Scalable:** Entity resolution and network generation that scales to tens of billions of records
4. **Transparent:** Ability for experts to craft decision models using techniques that make them non-biased and more explainable.
5. **Secure:** Our platform aligns with your existing governance model and security policies with more granular security levels for dynamic control

What our clients say

“ This new capability marks a significant milestone in the bank’s intelligence-led approach to detecting financial crime. The introduction of the first automated AML capability in the trade finance industry enables HSBC to more effectively concentrate our resources on genuine financial crime risk within our business and make trade safer for customers and society. ”

- Adrian Rigby, COO of GTRF



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About Quantexa

Quantexa’s Contextual Decision Intelligence is a new approach to data that gives organizations the ability to connect internal and external data sets to provide a single view, enriched with intelligence about the relationships between people, places and organizations. Our platform dynamically generates the context needed to automate millions of operational decisions, at scale, across multiple business units, including Anti-Money Laundering, Fraud, Credit Risk and Customer Intelligence.

Quantexa is a global business with offices in London, New York, Boston, Brussels, Toronto, Singapore, Melbourne and Sydney.

For more information go to: www.quantexa.com

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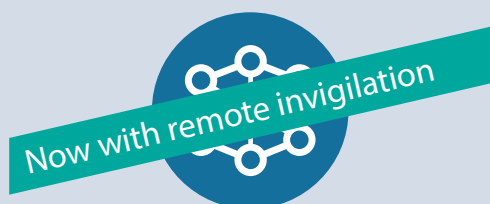
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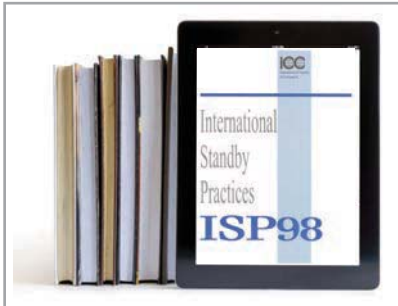
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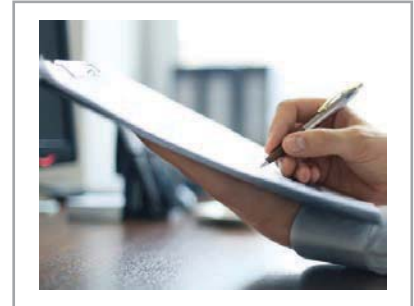
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Publications



Conferences



Resources

The Institute of International Banking Law & Practice is a not-for-profit educational and research organization dedicated to the harmonization of trade finance practice and law. Headquartered in the US with Associate Directors in Asia, the Middle East and Europe, the Institute has Fellows in more than 15 countries. The Institute sponsors, undertakes, and cooperates in projects, conferences, publications and journals in the trade finance space including AML and compliance, commercial LCs, guarantees & standbys, and beyond.

Since its formation in 1987, the Institute has been a leading force in the letter of credit world, bringing together bankers, lawyers, regulators, academics, and corporate users in forums and educational events. It has formulated the widely used practice rules for standbys - the International Standby Practices (ISP98), worked with leading organizations, published books, and conducted highly influential programmes. The Institute has worked with organizations such as the UN Commission on International Trade Law, SWIFT, BAFT, the International Chamber of Commerce, ICC National Committees in more than 15 countries, and various trade organizations and academic institutions around the world.

The Institute has also been at the forefront of combating financial crime in trade via books, conference and a certificate program educating on AML and compliance. For nearly 30 years it has offered seminars on trade finance as well as financial crime compliance in major markets around the globe.

You can learn more about the Institute's products and services by visiting www.iiblp.org.

TRADE FINANCE COMPLIANCE

NEWS



FATF posts video of TBML webinar following landmark publications

The Financial Action Task Force (FATF) has posted a 90-minute video of a webinar it held on 18 March 2021 to discuss the most recent trade-based money laundering trends (TBML) and developments.

[Read more](#)


EBA's Opinion on the risks of ML/TF affecting the EU's financial sector

The European Banking Authority (EBA) has published its biennial Opinion on risks of money laundering and terrorist financing (ML/TF) affecting the EU's financial sector.

[Read more](#)


FATF and Egmont release Trade-Based Money Laundering: Risk Indicators

The Financial Action Task Force (FATF) and Egmont Group of Financial Intelligence Units have released a new guide for financial institutions and businesses providing a set of trade-based money laundering (TBML) risk indicators for people responsible for compliance, transaction monitoring, investigative analysis, client onboarding and relationship management.

[Read more](#)


FATF releases landmark report on trade-based money laundering

Vigilance amongst competent authorities, private sector institutions, and other participants in global supply chains is called for in a landmark new report on trade-based money laundering (TBML) published by the Financial Action Task Force (FATF).

[Read more](#)


Wolfsberg Group – Correspondent Banking Due Diligence Questionnaire along with updated supporting FAQs, Completion Guidance & Capacity Building Guidance.

The Wolfsberg Group has updated the Correspondent Banking Due Diligence Questionnaire (CBDDQ) and Financial Crimes Compliance Questionnaire (FCCQ) with changes focused on greater clarity and ease of use.

[Read more](#)


US Guidance to Address Illicit Shipping and Sanctions Evasion Practices

View report:

[Read more](#)

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