

2022 ANNUAL TRADE FINANCE COMPLIANCE CONFERENCE

LONDON

Programme

ONLINE

2022

8th & 9th June

London

In association with

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2022 ANNUAL TRADE FINANCE COMPLIANCE CONFERENCE

ONLINE

2022
8th & 9th June
London



Agenda Wednesday, June 8 - DAY 1

08:30 – 09:00 Online Check-In

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

09:10 – 10:10 **Top News and Trends in Trade and TBFC**

Overview of the top news stories, trends and developments

- Cryptocurrency: Time to sit at the Big Table (Graham + Lorna)
- Fraud and knowing your customer
- Wolfsberg Updates
- Report on Beneficial Ownership in Uganda
- Increased regulatory focus on AML and FIs
- How effective are AML regulations?
- ESG Reporting Requirements
- Green washing from illegal activities

Moderator: Neil CHANTRY (Specialist Consultant)

Panelists: : Graham BALDING (Anglo Gulf Trade Bank); Onesmus MUGENYI (ACODE); Lorna STRONG (HSBC)

10:10 – 10:40 **The Professor James E. Byrne Memorial Keynote Address:**
Rebecca HARDING (Coriolis Technologies)

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

10:50 – 11:30 **Managing Shipping and Vessel Risks**

Topics include:

- Vessel tracking: What is shipping, AIS, and why do you need to be monitoring it?
- Vessel Registration – can you even find who owns it?
- Risks to lenders and others that finance the vessel's cargo, and other operations
- Containerization: B/L and actual shipment not match = red flag?
- The need for detective and investigative controls
- IIBLP/ACSS/IHS Markit White Paper on Vessel Tracking, AIS and Sanctions Evasion

Moderator: Michael BYRNE (IIBLP)

Panelists: George DEVEREUSE (S&P Global); Michael HOWLETT (IMB)

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Agenda Wednesday, June 8 - DAY 1

11:30 – 12:10

KYC: How well do you actually know your customers?

Topics include:

- Beneficial Ownership
- Regulated BO databases
- Uganda Beneficial Ownership Report
- Onboarding New Customers: Can we make it easier?
- Understanding what you should know about your customers and their related companies

Moderator: Neil CHANTRY (Specialist Consultant)

Panelists: Alexandra WILL (Guidehouse); Onesmus MUGYENYI (ACODE); Idrissa DIOP (Afreximbank)

12:10 – 12:50

Tales from the Trenches

Panelists: Alex GRAY (LIBF); Josephine MWANGI (Stanbic Bank Centre)

12:50 – 13:00

Closing Remarks and Prize Draw

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Agenda Thursday, June 09 - DAY 2

08:30 – 09:00 Online Check-In

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

09:05 – 10:05 Trade-based Money Laundering

Topics include:

- Data sharing and analytics between countries
- Complicated STR/SAR filings drive TBML: time for Standards?
- U.K. "Dear CEO" letter on AML Frameworks and risk assessments
- Dual Use Goods and Pricing: to report or not to report?

Moderator: Graham BALDOCK (Anglo Gulf Bank)

Panelists: Chris MOORE (WIPRO); Andy HINDLEY (TradeSun); Priya GUILIANI (Guidehouse)

10:05 – 11:00 Trade Sanctions

Topics include:

- The Russian / Ukrainian Conflict
- Chinese Military Industrial Complex
- Cambodia and Myanmar
- Ethiopia and the 50% Rule
- Supply Chain Due Diligence
- Chinese Anti-sanction Law

Moderator: Saskia RIETBROEK (ACSS)

Panelists: Sven BATES (Baker McKenzie); Ian MATTHEWS (Nat'l Australian Bank); Martijn FELDBRUGGE (BSCN)

11:00 – 11:10 Virtual Coffee Break

11:10 – 12:10 Technology and Trade Based Financial Crimes

Topics include

- Using AI and Blockchain, Standards
- Fintech/Regtech solutions and Cost-Benefit Analysis
- Big bank v. small bank resourcing
- Use of technology and waiver of liability: Who takes responsibility? No one . . .
- Push towards automated document checking (automated AML checking?)
- Digitalisation of Trade/URDTT

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Agenda Thursday, June 9 - DAY 2

Moderator: Geoffrey WYNNE (Sullivan & Worcester)

Panelists: Gabriele KATZ (DB); Chris SOUTHWORTH (ICC UK); Manoj SAXENA (TradeSun); Mirka SKRZYPCZAK (NatWest); Biji KURIAN JOHN (Pelican Secure Trade)

12:10– 12:45

Trade Fraud

Topics include:

- Frauds with Impact – What's Old is New Again: Hin Leong and Solo Industries
- Synthetic / Structured LCs and their use in the EU
- How Can Banks Manage and Mitigate Fraud Exposure?

Panelists: John TURNBULL (Bank ABC) & David CUCKNEY (IMB)

12:45 – 13:00

Wrap Up, Closing Remarks and Lucky Draw

- Key takeaways from the Conference
- Certificate in Trade Finance Compliance (CTFC)
- The Association of Trade Finance Compliance Professionals
- Q&A – Conference Committee

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

Steering Committee: Neil CHANTRY (Specialist Consultant); Geoffrey WYNNE (Sullivan & Worcester); John TURNBULL (Bank ABC)

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Speaker Bio

List of Panelists

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.

Alexandra Will

Alexandra Will is a Director in the Financial Services Advisory and Compliance practice in London. She has more than 15 years' work experience, 12 years of them specializing in financial crime. Alexandra has been involved in multiple global financial crime investigation and remediation projects, with a focus on anti-money laundering (AML) and operational excellence. Alexandra has extensive experience working in Europe and Asia, where she advised clients and worked in-house on risk management-related matters, including large AML and KYC remediation, governance, policies and procedures, preparation for regulatory visits and supporting the roll out of new controls and technology solutions.

Prior to joining Guidehouse, Alexandra was a director at a Big Four firm's UK forensic financial crime practice. She also spent eight years at global German bank, first in the office of the general counsel in Frankfurt, and then in a first line of defense risk management function of the bank's Global Transaction Banking business in Hong Kong and Singapore. Alexandra is fluent in English and German and has an advanced knowledge of Dutch.



**Andy Hindley: TradeSun**

Experienced senior executive with a proven track record of building and managing elite, high performance teams, both large and small, to successfully deliver complex operational and commercial programmes. Excellent commercial acumen with public, private and international experience. Built three successful companies and managed them to achieve their stated objectives. Significant involvement in raising c.£100m of commercial, private and public funding.

**Biji Kurian John: Head of Product, Pelican Secure Trade**

Biji has over 20 years of experience in managing and delivering customer engagements through product management and functional consulting in Transaction Banking, focusing on the Trade domain. His intuitive understanding of the digital Trade ecosystem helps nurture a holistic partner value chain in the Trade and compliance areas.

Biji is currently serving a market-leading Trade Compliance product as a Head of Product, responsible for driving the product strategy and roadmap. Previously he has worked with Finastra, contributing to the product strategy and roadmap of a market-leading Trade Finance booking engine.



Chris Moore: (WIPRO)

Chris Moore is a Principal Consultant at Capco, and a lead in its Financial Crime practice. His expertise extends into risk management in operations, CDD, conduct, suitability, product risk and governance. A career spanning 3 continents and 15 years in corporate, commercial, transaction banking and trade finance underpins his management consultancy and client delivery.



Chris Southworth: Secretary General, ICC United Kingdom

Chris Southworth is director of the International Chamber of Commerce (ICC) in the UK, which he joined in March 2015. He is also co-owner and company secretary of Tamayo-Southworth Ltd, a new company set up to build homes for the increasing numbers of middle income earners in Colombia. Prior to joining ICC, Southworth was executive director for global partnerships, at the British Chambers of Commerce (BCC), head of the International Chambers of Commerce unit at UK Trade and Investment and a senior policy advisor to Lord Heseltine for his independent review of UK competitiveness.

In 2011 he helped set up the mid size business export programme at UKTI and was a senior policy advisor for the 2011 Government Review of Mid Size Businesses. Former roles have encompassed deregulatory policy at Better Regulation Executive, social enterprise policy at the Department for Business and stints in a local strategic partnership and the charity sector.



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.



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.



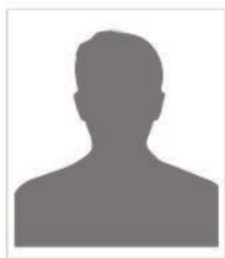
Ian Matthews: Director, Sanctions and Anti-Bribery & Corruption, Financial Crime | Data, Analytics & Strategic Execution, Corporate & Institutional Banking, National Australia Bank Limited

Ian heads up the sanctions advisory team in National Australia Bank's European Corporate & Institutional Banking business. Prior to specialising in sanctions, Ian managed correspondent and corporate banking relationships across Europe, Asia, the Middle East and Africa. He is based in the UK.



Idrissa Diop: Director Compliance of Afreximbank

Idrissa DIOP is the Director Compliance of Afreximbank since June 2019. He before used to be the Group Head Compliance of Ecobank Transnational Incorporated (ETI), the Pan African bank headquartered in Lome, Togo, holding company of the Ecobank group present in 36 African countries, with internal offices in Paris, London, Dubai and Beijing.



Josephine Mwangi: Corporate and Investment Banking / Trade Product and Sales Manager
Stanbic Bank Centre



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.



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.



Martijn FELDBRUGGE: Director/Owner at BSCN (BV & GmbH) and Director at SanctIO BV

I help recognise and manage sanctions risks regarding UN, EU, UK, US and other countries sanctions laws and regulations. I provide answers to sanctions related questions (relationship, transaction and business related). I provide training and support in setting up a (Sanctions) Compliance Program. To achieve this, I have experience since 2005 in (Sanctions) Compliance, and longer in ICT, Programm- and Project management, Training and Knowledge transfer.



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.



Mirka Skrzypczak: (Head of Working Capital & Trade Products at NatWest at NatWest Group)

Experienced Product Head with a demonstrated history of working in the banking industry. Expert in the distributed ledger technology (member of the R3 consortium). Winner of WinTrade award for Women in Banking and Finance 2018.



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.



Onesmus Mugenyi: (ACODE)

Mr. Mugenyi is an Ex-Officio member of the Board and Deputy Executive Director. He also Heads the Environment and Natural Resource Governance Programme and a full-time Public Policy Analyst. Onesmus has undertaken policy research and published in the areas of Environment and Trade. Onesmus has taught both Commercial and International Business Law at Makerere University Business School and is an Advocate of the high Court of Uganda. He holds a Master of Law Degree from Makerere University (LLM) and a Post Graduate Diploma in Legal Practice from Law Development Centre.



Rebecca Harding: Dr. Rebecca Harding is an independent economist specialising in trade and trade finance and CEO of Coriolis Technologies.

Dr. Rebecca Harding is an independent economist specialising in trade and trade finance and CEO of Coriolis Technologies, providing data as a service to the trade and trade finance space. She is the co-author of the acclaimed "The Weaponization of Trade: the Great Unbalancing of Policy and Economics" and "Gaming Trade: Win-Win Strategies for the Digital Era." She frequently appears on Ian King Live, Sky News, BBC World and BBC Radio 5 live, Newsnight and Radio 4 and is cited in the Broadsheet press, including recent articles in the Financial Times, Telegraph and CityAM, and citations in the Telegraph, the Times and the New Scotsman. She is a regular guest anchor on CNBC's Squawk Box. She has written 11 books and over 200 academic articles and public policy reports.

Rebecca is a member of the World Trade Board and is well-known in the trade and trade finance sector for her work on global trade. She is a strategic adviser to the Council of the Society of Professional Economists and until February 2017 was the Chief Economist of the British Bankers' Association. Her senior roles in business and academic institutions include Founder and CEO of Delta Economics, CEO of Equant Analytics, Senior Fellow at London Business School, Global CEO of the Global Entrepreneurship Monitor, Head of Corporate Research at Deloitte, Chief Economist at the Work Foundation, Senior Lecturer at the Science Policy Research Unit, University of Sussex, and Reader in Economics at the University of Brighton. She is currently a Fellow at Offenburg Institute for Trade and Innovation. She was a Specialist Advisor to the Treasury Select Committee and Chief Economic Advisor to the All Party Parliamentary Group on Entrepreneurship.



Sven BATES: Baker McKenzie

Sven Bates is 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.



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.

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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.



Pelican has pioneered the practical application of AI technology to enhance, streamline and secure payments, financial crime and Trade compliance. With over twenty years of payments domain experience and AI expertise, Pelican is uniquely placed to deliver innovative and agile solutions – partnering with customers to drive consistent and sustainable growth in today’s real-time economy.

The increasing menace of trade-based money laundering (TBML) is an often under-reported financial and reputational risk to banks and a growing concern to governments and regulators alike. Pelican’s Trade Finance digitisation, automation and compliance solution, **Pelican Secure Trade**, provides a complete end-to-end documentary trade automated processing solution, leveraging the AI disciplines of Natural Language Processing and Machine Learning to derive meaning and understanding across all trade instruments and messages - dramatically improving efficiencies and tackling Trade-Based Money Laundering through Red flag indicators and integrated sanction screening.

The expansion of global watchlists and a tightening regulatory framework create many challenges for organisations, with serious financial and reputational consequences for non-compliance. Leveraging AI technology, PelicanSecure Screening is a unique screening solution delivering reputational protection across all payment processes and counterparties.

High false-positive rates are costly for financial institutions; regulators are also scrutinising existing technical infrastructures and requiring that organisations act to increase efficiency and improve effectiveness. With PelicanSecure Self-Learning Optimisation, institutions will be able to address today’s key challenges.

With the increasing cost of compliance, lack of sanctions expertise, and heightened pressure from regulators globally, financial institutions are being forced to be more innovative in handling compliance in a demanding and dynamic market. Watchlist Screening is becoming ever more complex, with false-positive rates increasing for many institutions.

Pelican’s AI-based Sanctions screening is a giant leap forward in the watchlist screening industry.

Pelican Financial Crime Compliance suite consists of advanced AI-based applications protecting all payments and trade transaction lifecycle stages, including AML and Fraud Detection. Furthermore, Pelican’s Self Learning Optimisation has dramatically reduced false positives, reducing false positives by as high as 85% in large global institutions worldwide.

Pelican has achieved outstanding efficiency and compliance with its unique combination of NLP and Machine Learning-based AI technology for customers in over 55 countries, processing more than one billion transactions worth over US\$5 trillion. Pelican is a global company with offices in New York, London, Amsterdam, Dubai, Mumbai and Hong Kong.

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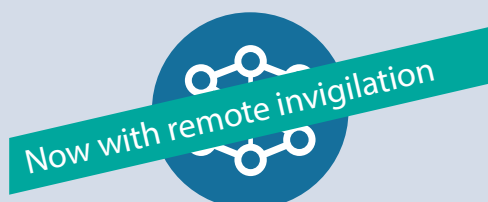
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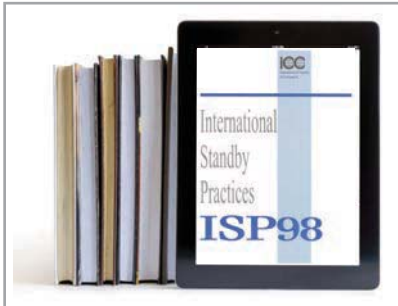
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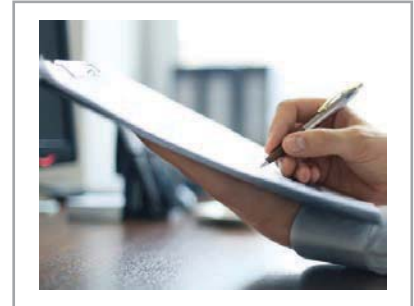
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Publications



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

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