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## **Sonali Bhavsar - KPMG**

Sonali is an Advisory Managing Director based in New York office for KPMG LLP, where she is a member of the Forensics Service Line. Sonali focuses on AI, Machine learning, applying advanced data and analytics solutions specific to forensics, Risk consulting, Regulatory Compliance, Surveillance and Due Diligence.

Sonali has more than 18 years of experience in leading data and cognitive analytic solutions using augmented intelligence in financial crimes, data management, information governance, data archiving, and risk and compliance. She is a trusted advisor for AI solutions for global Financial Services Clients.

She has had a diverse career with a core engineering background to leading advanced cutting edge technology solutions with firms such as IBM, HP, Honeywell across the globe.

Sonali has lead engagements in advisory and technology consulting domestically and internationally including Mexico, United Kingdom, Switzerland, Canada, France, to name a few.

## **Jessica Guild - Societe Generale**

Jessica Guild is the Head of the Compliance Digital Transformation Office at Societe Generale for the Americas. Her team leads data analytics and innovation initiatives to improve the efficiency and effectiveness of various Compliance surveillance and monitoring models, including fine-tuning, optimization, and validation. In addition, her team leads the quantitative analytics, modeling and automation for Financial Crime Client Risk Rating models and Compliance Risk Assessments. Jessica also leads the AI and machine learning initiatives for Compliance, including developing the AI models to reduce false positives for transaction monitoring. Prior to that, she headed the Fair Banking Analytics group at TD bank and the Investment Banking quantitative Client Strategy team at Citigroup, where she developed the proprietary methodology to estimate maximum revenue and profitability opportunities for Global Markets and Investment Banking clients. Jessica received her Ph.D. from the School of Management of the State University of New York, at Buffalo.

## **Patrick Hu**

Sanctions Compliance Officer

U.S. Department of the Treasury's Office of Foreign Assets Control (OFAC)

Patrick Hu is a Sanctions Compliance Officer at the U.S. Department of the Treasury's Office of Foreign Assets Control (OFAC) where he advises on a variety of matters relating to both domestic and foreign financial institution compliance with U.S. economic sanctions programs. As part of OFAC, he routinely interacts with industry peers to discuss sanctions compliance and implementation issues, educates public and private sector partners on OFAC sanctions programs, and leads high-level investigations of financial institutions that appear to have violated U.S. sanctions regulations. Prior to joining OFAC, Patrick worked on national security and foreign policy issues in the U.S. Senate.

## **Koko Ives**

Manager of the Bank Secrecy Act / Anti-Money Laundering Section  
Board of Governors of the Federal Reserve System

Koko Ives is the Manager of the Bank Secrecy Act / Anti-Money Laundering Section at the Board of Governors of the Federal Reserve System.

She works with Reserve Banks and Board staff in overseeing the development of supervisory strategies to address complex BSA/AML issues. She participates in the development of BSA/AML guidance and rulemakings. Ms. Ives participates in interagency and industry groups to develop and communicate BSA/AML policy guidance for financial institutions and represents the Federal Reserve domestically and internationally.

Before joining the Board, Ms. Ives served as the Deputy Assistant Director of the Office of Regulatory Policy at the Financial Crimes Enforcement Network (FinCEN) from 2007 - 2012. She oversaw the development, interpretation, and implementation of Bank Secrecy Act regulatory policy. She supervised the development and issuance of proposed and final regulations, industry guidance, responses to requests for administrative rulings, and responses to written inquiries and correspondence. Prior to joining FinCEN, she spent more than 10 years as an attorney focusing on issues related to the banking industry.

Ms. Ives is a graduate of Catholic University of America Columbus School of Law and St. John's College in Annapolis, Maryland.

## **Arpi Lal - EY**



**Arpi Lal**  
Senior Manager  
Forensic and Integrity Services

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### **Sectors served**

Financial Services  
Private Equity  
Technology

### **Professional affiliations**

Certified Public Accountant  
Certified Anti-Money Laundering  
Specialist

### **Professional background**

Arpi is a Senior Manager with more than 13 years of experience assisting clients with regulatory compliance matters and investigations. She focuses on clients in the financial services industry serving a diverse set of domestic and global clients including banks, broker-dealers, and private equity firms.

She has extensive Financial Crime experience in the areas of Fraud, AML, and Sanctions. Her skillset includes program review, investigations, quality suspicious activity reporting, customer diligence, and training. Arpi has developed and led program reviews and remediated gaps including conducting historical look backs and investigations. She has led numerous teams through the process of investigating transactions for potential implications of fraud, money laundering or sanctions evasion and worked with her clients to report on potentially suspicious activity.

Arpi is a Certified Public Accountant and Certified Anti-Money Laundering Specialist. Arpi has a BS in Finance and Accounting from New York University.

## **Kevin R. Puvalowski**

Senior Deputy Superintendent -Consumer Protection and Financial Enforcement Div.  
New York State Department of Financial Services

Mr. Puvalowski works at the New York State Department of Financial Services as Senior Deputy Superintendent in the Consumer Protection and Financial Enforcement Division. In that role, he supervises a broad range of enforcement investigations and proceedings, including matters involving BSA/AML compliance in banks and other financial services companies.

Mr. Puvalowski has a wide range of experience in the white-collar enforcement area, both in government service and private practice. He was previously a partner at Sheppard Mullin Richter & Hampton LLP, where he successfully tried a number of high-profile cases. His successful defense of Abacus Federal Savings Bank in a five-month mortgage fraud trial, which resulted in an acquittal of the bank on all counts, was featured in a documentary that was nominated for an Academy Award in 2018.

Prior to private practice, Mr. Puvalowski served almost nine years in federal government service, most recently as Deputy Special Inspector General in the Office of the Special Inspector General for the Troubled Asset Relief Program ("SIGTARP"). At SIGTARP, Mr. Puvalowski co-founded the federal agency that was created to oversee the \$700 billion TARP program and served as the Special Inspector General's principal deputy and senior advisor.

Prior to SIGTARP, Mr. Puvalowski spent seven years as an Assistant United States Attorney in the Southern District of New York, serving as Chief of the International Narcotics Trafficking Unit, as Deputy Chief of Appeals, and as the AUSA Coordinator for the Organized Crime Drug Enforcement Task Force. Mr. Puvalowski was twice awarded the Attorney General's John Marshall Award, one of the Department of Justice's highest honors.

Mr. Puvalowski clerked for the Honorable Loretta A. Preska, United States District Judge for the Southern District of New York. He is a graduate of the Fordham University School of Law and the University of Michigan.

## **Frederick Reynolds – Barclays**



Frederick Reynolds is the Global Head of Financial Crime Legal at Barclays. Based in New York, he leads a global team of lawyers who provide specialist counsel to Barclays businesses and functions globally on a wide range of complex Anti-Money Laundering, Sanctions and Anti-Bribery & Corruption investigations and advisory matters. Given the global nature of Barclays business, these matters are often cross-border and involve interactions with regulators and law enforcement authorities in multiple jurisdictions.

Frederick plays a leading role in the bank's engagement with US, UK and other Government and law enforcement partners on significant AML policy and legislative initiatives and has testified to the U.S. Congress on Anti-Money Laundering and Terrorist Financing issues. Prior to joining Barclays, Frederick was the FIU Executive at Bank of America.

Prior to entering the private sector, Frederick served as the Deputy Director of the Financial Crimes Enforcement Network (FinCEN). As the Deputy Director, Frederick was responsible for protecting the United States financial system from money laundering and terrorist financing and developing and implementing U.S. Anti-Money Laundering policy as part of FinCEN's role as the administrator of the Bank Secrecy Act. As Deputy Director, Frederick provided strategic leadership on significant investigations and enforcement matters and led numerous key initiatives with law enforcement and industry partners. Prior to being appointed the Deputy Director of FinCEN, from 2010-2012 he was a Deputy Chief of the Asset Forfeiture and Money Laundering Section of the Department of Justice. As Deputy Chief Frederick supervised numerous high profile money laundering and financial crime cases, including ones involving Mexican Cartels, terrorist financing and transnational organized crime. From 2006 to 2010, Frederick was a federal prosecutor at the Department of Justice where he investigated and prosecuted high profile cases involving significant money laundering, financial crime, and violations of IEEPA and the Bank Secrecy Act.



## **Daniel Ross – Promontory**



**Daniel Ross**

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### **Daniel Ross** | Senior Principal

Dan focuses on delivering regulatory and strategic change initiatives across various global financial firms. Through a strong program management discipline, he has led major technology rollouts, regulatory response programs and target operating model transformations. Additionally, Dan is a leader within Promontory's data governance practice, and his expertise has been applied across executive assessments and the development of data programs for first- and second-line operations. Dan has assisted financial institutions with the development of data management strategy and governance that meets regulatory expectations, and has executed rapid response programs to setup data quality, metadata management, and data issue management operations for U.S and global institutions.

Prior to joining Promontory, Dan was a Vice President at both Deutsche Bank and Bank of America Merrill Lynch, and started his career at Accenture in both management and technology consulting. Dan has a Bachelor of Arts in Economics from Vanderbilt University.

## **James F. Vivenzio**

Acting Director for BSA/AML Compliance Policy  
Office of the Comptroller of the Currency

Jim Vivenzio is presently the Acting Director for BSA/AML Compliance Policy for the Office of the Comptroller of the Currency (OCC) in Washington D.C. and is responsible for policy developments in the area of BSA/AML regulation and bank supervision. Previously, Mr. Vivenzio was the Senior Counsel for BSA/AML in the OCC Law Department. Mr. Vivenzio has been with the OCC since 1991 and his areas of legal practice mainly involve Bank Secrecy Act/Anti-Money Laundering (BSA/AML) compliance policy, legislation and enforcement matters, and operational and fraud risks involving payment systems and financial technologies. Mr. Vivenzio is a member of the Interagency Regulatory Reform Working Group, the FS-ISAC Payments Fraud Working Group and he has participated on several Bank Secrecy Act Advisory Group (BSAAG) Subcommittees.

Mr. Vivenzio began his career as an associate with the law firm White & Case in New York City. He received his J.D. degree from the Fordham University School of Law, was a member of the *International Law Journal*, and worked as a senior auditor with Coopers & Lybrand while attending law school in the evening. He received a B.S. degree from the Fordham University College of Business Administration and was a member of the *Beta Alpha Psi* accounting honor society. Mr. Vivenzio also participates in the Case Western Reserve University School of Law Financial Integrity Program as an Adjunct Professor of Law. Mr. Vivenzio is a member of the New York Bar and the New Jersey Bar.

## **Ken Wolckenhauer - Nordea**

Ken Wolckenhauer is the head of Vendor Management at Nordea Bank's New York branch and **additionally heads the International Vendor Management Committee for Nordea**. Leading up to this position, Ken was as a subject matter expert, trainer, solutions provider, and consultant for FIS, the world's largest global provider dedicated to banking and payments technologies. With FIS, Ken specialized in financial industry regulatory risk and compliance, mostly in the area of anti-money laundering and watchlist compliance. Nordea Bank leveraged Ken's risk and compliance knowledge to build out the vendor management program for the New York branch, developing a program that would properly manage risk as well as gaining acceptance to the US regulators. The success of the US served as a model to develop Nordea's TPRM program. Prior to financial services, Ken was in the telecommunications industry for 18 years in various sales and marketing management roles. Ken is a graduate of Bucknell University and is a Certified Anti-Money Laundering Specialist.