



REGIONAL: AML, TITLE 31, SAR, RISK ASSESSMENT & OFAC SEMINAR & WORKSHOP

April 9-10 2014





CASINO ESSENTIALS



Join us on April 9 - 10, 2014

Learn about the latest Title 31 updates and news provided by FinCEN and the IRS. This information will assist you in gaining a better understanding of what the IRS is expecting from your property and prepare you for reporting changes and IRS audit. Attendee participation is highly recommended during this conference.

We will discuss the following Key Elements:

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-  Successfully adhere to Title 31 Federal Regulations for large currency tracking
 -  Recognize and accurately report all details related to Suspicious Activities
 -  Define the pillars of compliance required to mitigate government fines and penalties
 -  Develop or revise your organization's required Anti-money laundering (AML) compliance program
 -  Research, resolve and accurately document outstanding organizational AML issues
 -  Communicate recent changes in the regulations and industry to others in your Organization
 -  List the Red Flags required for Suspicious Activity Reporting
 -  List the IRS' expectations and requirements for currency and suspicious activity reporting
 -  Strategize the most effective way to develop a Risk Assessment
 -  Associate the IRS' expectations with your organization's risk
 -  How to use the Risk Assessment to develop policies and enhance your overall compliance program
 -  Define OFAC and identify requirements to ensure financial compliance
 -  Implement OFAC compliance into your current policies, procedures and risk assessment
 -  Identify AML and OFAC risks, determine the risk level (low, med, high) and mitigate risks

INFORMATIONAL BROCHURE
WHO SHOULD ATTEND?

Compliance Officers, Title 31 Staff, Audit and Compliance, Operational Managers and Supervisors that interact with customers, HR Personnel, Slots, Table Games, Poker and Cage Management, Cage Staff, Revenue Audit, Casino Accounting, Directors, Executives, Gaming Commissioners, Marketing Management, Gaming Supervisory Staff, Tribal Members, Tribal Interns, Security and Surveillance Management, and anyone in an ownership position or responsible for Title 31 tracking or reporting of Suspicious Activities. **This is a Casino personnel only event. Not meant for vendor attendance.**



PROGRAM LEVEL:

Intermediate and Advanced: This course is recommended for gaming personnel that have basic Anti-money laundering (AML) knowledge. Most gaming personnel are considered to have basic AML knowledge when they have worked a minimum of one year in the industry with the regulation outside of the industry and two years AML regulatory experience.

Conference Package
\$595.⁰⁰*

This Includes:

- Breakfast & lunch
- Access to all the sessions of the conference
- Conference training material

**Does not include hotel.*

**Early-bird special pricing. Registration will increase after January 31st to \$695.⁰⁰.*

INFORMATIONAL BROCHURE
ACCOMMODATIONS

Seneca Niagara Casino & Hotel

Seneca Niagara Casino & Hotel is the host hotel for the 2014 Conference. Room assignments will be made directly with the Hotel by calling the hotel room reservation department's toll-free number (877) 873-6322. Receive the group rate of \$105.00/night* by booking under the Casino Essentials room block.

*does not include occupancy fee.



Luxury Worth Sharing

Seneca Niagara Casino & Hotel is home to the largest hotel in Western New York and received the impressive AAA Four Diamond certification for the sixth consecutive year. Each of their 604 newly renovated rooms and suites feature upscale amenities, including pillow-top beds, an oversized shower, a flat-screen TV, Internet access and more. It all adds up to 26 levels of pure luxury.



Resort Services

Seneca Niagara Casino & Hotel is a full-service resort offering state-of-the-art amenities. Take a dip in their relaxing indoor pool, keep up with your routine in their workout facility, or simply enjoy strawberries and champagne in bed.

WEDNESDAY APRIL 9, 2014

8:30am - 9:00am
0.5 hour

Registration & Continental Breakfast

9:00am - 10:30am
1.5 hours

Opening Comments, Introductions & Title 31 Updates

Learn about the latest Title 31 updates and news from FinCEN and the IRS. This information will assist you in gaining a better understanding of what the IRS is expecting from your property and prepare you for upcoming regulatory changes. Attendee participation is highly recommended during this initial session.

A discussion of the following key elements:

- FinCEN Director's Comments regarding the Casino Industry and what it all means for upcoming changes
- It's more than FinCEN and IRS: Discussing DOJ and other entities that are involved in today's AML cases
- FAQs from the industry and LinkedIn Blog Discussion

10:30am - 10:45am

Break

10:45am - 12:00pm
1.25 hours

Safeguarding your Casino from BSA violations and how fraud may play into the findings.

A discussion of the following key elements:

- An in-depth review of AML financial crimes
- Ensuring that your AML program safeguards your Casino against AML financial crimes
- An in-depth review of recent cases that involves lawsuits and regulatory action as a result of ponzi schemes and financial frauds

12:00pm - 1:00pm

Lunch Break

🕒 1:00pm - 2:15pm
🕒 1.25 hours

Requirements for a Comprehensive Compliance Program

A Regulator's Perspective

The Financial Crimes Enforcement Network (FinCEN) has specific requirements for a comprehensive compliance program. During this session, we will review compliance program requirements that the regulators are learning before they audit your property.

A discussion of the following key elements:

- An inside chance to train like a regulator
- Understanding the pillars of compliance
- Regulatory expectations and changes

2:15pm - 2:30pm

Break

🕒 2:30pm - 4:30pm
🕒 2 hours

A Comprehensive Review of SAR Compliance

FIVE STEPS TO TOTAL SAR COMPLIANCE:

This session will provide all attendees with extensive information about suspicious activity identification, considerations, writing, reporting and clarify the recordkeeping requirements that Compliance Officers often find confusing.

- Understanding how the government uses SARs
- In-depth review of SAR reporting requirements
- SAR Disclosure Requirements for general, subpoenas and law enforcement requests
- Committee Roles and Responsibilities for SAR reporting
- Do's and Don'ts of SAR Narrative writing

Additional Key Discussion Items include:

- Post- SAR Procedures and SAR Disclosure
- Safe Harbor related to SAR and SAR Disclosure

THURSDAY APRIL 10, 2014

🕒 9:00am - 9:30am
🕒 0.5 hours

Continental Breakfast and Networking

🕒 9:30am - 11:30am
🕒 2 hours

Workshop
Hands-on Scenario

A Casino Case Study: Attendees will take part in a real-life case study to ensure that they understand the AML compliance program requirements, SAR investigations, SAR writing, financial fraud and what to expect from the regulators or Department of Justice during a criminal investigation.

Learn what you need to know to protect your casino from millions in fines!

🕒 11:30am - 12:00pm
🕒 0.5 hours

Roundtable Debrief, Questions and FAQs

12:00pm - 1:15pm

Lunch

🕒 1:15pm - 4:15pm
🕒 3.25 hours

Risk Assessments for Anti-Money Laundering and OFAC

Risk Assessment has remained a hot topic in the gaming industry. Performing a comprehensive review and audit of your existing procedures, policies, programs and internal controls allows you to maintain control of your risk BEFORE, DURING and AFTER an IRS audit. Don't wait for the IRS to perform this process for you. Don't forget to test your Risk Assessment.

Risk Assessments for Anti-money Laundering and OFAC (continued)

Learn ways to complete this process based on your property's risk and IRS requirements. This session is a prerequisite for the Risk Assessment workshop, which will allow all attendees to successfully use the information they learn.

A discussion of the following key elements:

- Where does Risk Assessment fit into your overall compliance program?
- How to leverage your Risk Assessment in a great audit or assist with criminal investigations
- What areas of risk should I consider and why?
- What might the IRS look for in your Risk Assessment?
- What is the examiner's guide to Risk Assessments?
- How is an independent audit different from a Risk Assessment? How do they complement each other? Who can perform both?
- What do I turn over to the examiners in an IRS Audit?
- Understanding the basics of OFAC and how it fits into the Risk Assessment program
- How to use the Risk Assessment to develop policies and enhance your overall compliance program

🕒 4:15pm - 4:45pm
🕒 0.5 hours

Answering Final FAQs & Closing Comments



Mindy Letourneau:

Managing Director, Casino Essentials

Mindy Letourneau, Managing Director of Casino Essentials, provides educational services to the Financial and Gaming industries to ensure compliance with Federal, State and Jurisdictional regulations such as Anti-Money Laundering/BSA/ Title 31, Human Resources, and OSHA regulations. She has more than 15 years experience of BSA regulatory compliance in the gaming and financial industry with extensive experience managing Gaming operations, with key emphasis on regulatory compliance, performance management and operational efficiencies. Mindy's ability to provide training strategies that balance operational efficiencies, profitability and compliance allows organizations to pursue their mission in a findings free environment. She holds a Master's degree from San Diego State University.

Mindy has authored several educational articles as a published writer for one of the largest magazines in the Gaming Industry: Casino Enterprise Management Magazine. She has educated casino gaming professionals across the nation and most notably the National Indian Gaming Association, Great Plains, Midwest and Oklahoma Indian Gaming Associations, several State Association professionals via AML Webinars and Casino Essentials Seminars and Webinars. In addition, Mindy provides professional consulting services for Title 31, AML and OFAC training services for casinos.

E-mail: Mindy@CasinoEssentials.com

Phone: (877) 811-3534 x102

Jim F. Dowling:



President, Dowling Advisory Group

Jim Dowling is the founder and Managing Director of Dowling Advisory Group (DAG). He has more than 30 years' experience in the areas of fraud, anti-money laundering (AML) and risk management. His career includes extensive experience as a Special Agent with the IRS Criminal Division, "Big Four" accounting and regulatory compliance. Jim also served as the Anti-Money Laundering Advisor to the Executive Office of the President, White House Drug Policy Office. His selected experience includes:

- Former member of the Bank Secrecy Act Advisory Group (BSAAG) which provides guidance to FinCEN on BSA issues.
- Assisted in writing and editing the National Money Laundering Threat Assessment and National Money Laundering Strategy for the U.S. Government which was signed by the President.
- Former member of the Office of Foreign Asset Control (OFAC) Kingpin /Specially Designated Nationals (SDN) and selection committee which approved additions to this list.
- Initiated the Afghanistan Illicit Finance Working Group, an international law enforcement/regulatory group whose objective is to prevent illicit funds from the sale of opium/heroin returning to the Taliban.
- Worked with intelligence agencies on numerous classified projects in Central America, South America, and Southwest Asia on money laundering issues.
- Managed complex financial investigations and testified at numerous criminal trials.
- As a Public Corruption Coordinator, coordinated and conducted high-level, complex public corruption investigations including investigations on members of Congress, several mayors, police chiefs, and other public figures.

Jim is a recognized industry leader in financial regulatory compliance and conducting fraud investigations. He has testified before Congress at the House Financial Services Committee regarding online gambling and has provided AML and regulatory compliance training for the US Department of Justice, the FBI, CIA, Federal Reserve, and state gaming regulators. Jim has served on FinCEN's Bank Secrecy Act Advisory Group, OFAC's SDN Kingpin selection group and provided expert testimony before Congress regarding online gambling. Jim is also an Adjunct Professor at USC Marshall School of Business in the MBA program. The Dowling Advisory Group provides casinos with expertise in conducting Independent Testing of Title 31 programs, risk assessments and related programs.


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Phone: (626) 585-0321

ADDITIONAL INFORMATION

CPE PREREQUISITE REQUIREMENTS:

Required for Basic learners. Basic learners are required to take the Casino Essentials self study AML (Title 31 and SARC all in one) course and pass with a 70% prior to taking the AML conference. No prerequisite requirements for Intermediate or Advanced learners. This Group Live program does not require advanced preparation.

 Recommended CPE Credit: 11 units

REGISTRATION:

Register Online at: www.casinoessentials.com/conferences

Register By phone at (877) 811-3534 x102

Registration Price: \$595.00 until January 31st, 2014

Registration will increase after January 31st, 2014 to \$695.00

REFUND POLICY:

Requests for refunds must be received in writing within the timeframe of cancellation to receive your remaining reimbursement. Requests made by January 15, 2014 will be subject to a \$150.00 cancellation fee. Refund requests received between January 16th and February 27th, 2014 will be subject to a \$250.00 cancellation fee. Refunds will not be granted after February 28, 2013.

Individuals who cancel a confirmed enrollment less than 60 calendar days before the class and fail to provide a qualified replacement to fill the enrollment will be billed for 100 percent of the full tuition fee (list price).

Those who fail to appear for training as scheduled will be billed for 100 percent of the full registration fee (list price).

Casino Essentials reserves the right to reschedule or cancel any scheduled center-based training class upon ten business days notice to confirmed registrants (or upon five business days for online training classes). Registrants may then enroll in the next available offering of the course, or cancel the registration. In the event of cancellation by Casino Essentials, any payment made for the canceled class will be refunded. The client understands and agrees that Casino Essentials shall not, in any way, be held responsible for any costs, including loss of airfare or other transportation costs, hotel expenses or other damages, which the client may suffer in the event that Casino Essentials cancels or reschedules a class.

ADDITIONAL INFORMATION

COMPLAINT RESOLUTION POLICY:

If you are currently enrolled in a program or you are a former student, potential student, faculty or any other interested party and you have a concern about a CE accredited program, please read our Complaint Policy. All complaints must be written and signed upon submission. CE follows due process procedures when written and signed complaints are received alleging that they or an accredited program are not following established policies or accreditation Standards. To receive formal consideration, all complaints shall be submitted in writing and signed. The complaint should demonstrate that reasonable efforts have been made to resolve the complaint, or alternatively that such efforts would be unavailing. When received by CE, complaints are transmitted within five working days to the management for consideration. CE will respond with a resolution within 15 business days and the person initiating the complaint shall be notified accordingly within 20 working days following receipt of the complaint. For more information regarding administrative policies such as complaint and refund, please contact our offices at (877) 811-3534.

REGISTRY STATEMENT:

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

INFORMATIONAL BROCHURE
ABOUT CASINO ESSENTIALS



Casino Essentials is the leading educational provider in the Gaming industry, bringing a comprehensive and integrated solution for state of the art Casino-specific training that is easily expanded to include internal training, Title 31, Customer Service, Human Resources, Leadership training and OSHA Risk Safety programs.

As the makers of the Title 31 Compliance Training Program, Casino Essentials continues to lead the gaming industry with its compliance innovations. Our extensive experience in the gaming industry has yielded a view of casino regulatory compliance processes that extend beyond Title 31 compliance management alone. Our solution brings the industry's best compliance training together into one comprehensive and integrated solution for complete FinCEN and IRS regulatory compliance training that meets the needs of our casino clients today and into the future.

Casino Essentials ability to bring value-added leveraging, by integrating exclusive relationships between the gaming industry's most advanced compliance products and service providers, allows Casino Essentials to deliver its vision to casino properties in any jurisdiction, anywhere in the world.

Casino Essentials has simplified and strengthened Casino employee education with a suite of innovative products and learning services while saving their clients 30% or more, in training expenses, and continues to redefine gaming education for thousands of Casinos around the nation.

For additional information about Casino Essentials please [email us](mailto:info@casinoessentials.com) or call (877) 811-3534.