

ATTENDEE BROCHURE

May 13 - 14

REGIONAL: 2015 AML·TITLE 31·SAR RISK ASSESSMENT & OFAC SEMINAR & WORKSHOP

NIAGARA FALLS, NY

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BRIEF INSIGHT

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REGISTER NOW

Seneca Niagara Casino & Hotel
310 Fourth Street
Niagara Falls, NY 14303

www.casinoessentials.com
Orlanda@casinoessentials.com
twitter.com/casinoessential

Join us on May 13 - 14, 2015

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.



Conference Package

$595.00*

This Includes:

- Breakfast & Lunch (2 days)
- Access to all the conference sessions
- Conference Training Materials

**Does not include hotel.*

**$595 early registration pricing until February 1st, 2015.*

Register Today!

Contact: Orlanda Vance
Phone: 877-811-3534 X106
Fax: 619-202-7725
Email: Orlanda@Casinoessentials.com

We will discuss the following Key Elements:

- Title 31: FinCEN updates, Investigations, Marijuana requirements, and IRS exam hot topics
- SAR Updates: Suspicious Activity Reporting
- What is OFAC and how does it apply to overall compliance?
- FAQs from the industry
- Workshops to include: Compliance Program Independent Testing Review

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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.

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CONFERENCE AGENDA

Wednesday May 13, 2015

7:30a- 9:00a

Registration & Continental Breakfast

9:00a- 10:30a

Opening Comments, Introductions & AML Updates

What's new from FinCEN, Culture of Compliance, Compliance Officer Fines and Casino Employee Barred from Industry, Recent Criminal Investigations Update, The Marijuana Dilemma, IRS Hot Exam Trends, Introduction into AGA's role in AML Compliance.

Break

10:45a- 12:30p

Demystifying the AGA Guidance on AML

In this session you will learn to navigate through the "FACTS and MYTHS" noted in this guidance, and have a thorough understanding of your casino's risk related to the AGA AML guidance.

Lunch

1:45p- 2:45p

Compliance Program Requirements

This session will provide insight into program requirements specifically related to Compliance Officer Responsibilities and Liability, Professional development and staff training guidelines, assessing risk to ensure that your program is "risk based", internal controls and independent testing minimum requirements. Learn how to incorporate OFAC into your compliance program.

Break

3:00p- 4:30p

Compliance Program Independent Testing Workshop and Simulation

Learn how to prepare your compliance program for testing, responding to finding and recommendations and bullet proof your program from unnecessary IRS exam scrutiny.

Thursday May 14, 2015

7:30a- 9:00a

Continental Breakfast and Networking

8:00a- 8:45a

AML Basics (Optional)

This is an optional introductory session that will allow newer Compliance professionals to gain a better understanding of the basics of Title 31 and SAR requirements.

Break

9:00a- 10:15a

Chip Walks and Structuring, How to Spot It, Investigate, and Report

Over the last year, there is a focus on chip walk – in this session you will learn about chip walk, what types of issues the government is dealing with as a result of it, the IRS' viewpoint on chip walk, chip walk audits and reporting requirements. Learn everything you'll need to know to ensure compliance with chip walk.

Break

10:30a- 11:30a

Understanding how Fraud plays a part in AML

Most casino compliance officers manage the day-to-day responsibilities of Title 31 and AML compliance. However, there are a few missing pieces that are critical to every casino's compliance program. In this session we will learn about casino fraud, and how it plays a role in money laundering. Together, we will learn how to identify fraudulent incidents that require SAR reporting and considerations for assessing AML risk related to fraud types in your casino.

11:30a- 12:30p

FinCEN Case Studies: Recent Fines and Penalties, Past Fraud Cases detected using AML reporting

Lunch

1:30p- 2:30p

Debrief with Q&A Session

In this session, we will discuss frequently asked questions by the industry's best compliance professionals. The audience will have an opportunity to ask questions and provide their insight, opinions and experiences to the Title 31 discussions. This session provides all attendees with the opportunity to ask questions about the previous sessions, ensuring that they leave the conference with a complete understanding of their AML responsibilities and requirements.

2:30p- 3:00p

Conference closes

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Mindy Letourneau

Casino Essentials
Managing Director

Mindy Letourneau 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.

Mindy@CasinoEssentials.com
(877) 811-3534 x102



Jim F. Dowling

Dowling Advisory Group
President

Jim Dowling is the 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.

Selected experience:

- Served as an Expert assisting casinos in litigation regarding money laundering and fraud issues.
- Former member of FinCEN's Bank Secrecy Act Advisory Group ("BSAAG").
- 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.
- Assisted numerous casinos that were being examined by the IRS avoid penalties.
- Provided training to the FBI, Department of Justice and State Gaming Regulators.
- Former member of the Office of Foreign Asset Control (OFAC) Kingpin /Specially Designated National committee.

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 where he teaches Forensic Accounting in the Master's program. The Dowling Advisory Group provides casinos with expertise in conducting Independent Testing of Title 31 programs, creating and evaluating risk assessments and related programs. DAG also helps casinos mediate issues from IRS examinations and established Customer Due Diligence ("CDD") programs and programs to help casinos identify patron's "Source of Funds" through non-intrusive means.

E-mail: Jim@DowlingAdvisory.com
Phone: (626) 585-0321



Christopher G. Guerra

Blackhawk Network
Sr. Manager of AML
& Fraud Investigations

Christopher has a wealth of knowledge and experience in regulatory compliance, governance and risk management. Christopher has served on the executive committee of two resorts in Nevada, assisted with the opening of a resort in Las Vegas, and developed compliance programs that have successfully passed multiple BSA Compliance Examinations across multiple industries.

Selected experience:

- Indian Gaming
- State Licensed Gaming
- Depository Institutions
- Money Service Businesses (MSBs)
- Prepaid Access

Christopher is currently the Sr. Manager of AML & Fraud Prevention & Investigations in the Risk Management Department for Blackhawk Network. Blackhawk Network is a leading provider of Prepaid Access products including gift cards, VISA Gift Cards and Reloadable VISA Products.

During his years of experience working in risk and compliance, Christopher has developed and implemented risk assessments, internal controls and audit programs and quality control relating to BSA, OFAC, FACTA, PCI Compliance, Consumer Protection and Privacy and many other state and federal regulations. He has also developed new hire orientation training and semi-annual training for BSA/AML, OFAC, FACTA, Privacy, Responsible Gaming, Intoxicated Gaming, Underage Gaming and the Prevention & Reporting of the Abuse of Elderly & Vulnerable Persons.

Christopher is a regular contributor to the blogs & discussions to the Casino Title 31, AML, BSA and OFAC Group in LinkedIn creating discussions to invoke thought and inspire industry professionals to think outside the box and develop comprehensive and robust AML/ OFAC Compliance Programs. Christopher has served as a compliance consultant and subject matter expert to Casino Essentials for more than three years; offering guidance and clarification in BSA and OFAC matters relating to BSA training development. Christopher is also a contractor for the Dowling Advisory Group assisting with independent testing and other projects.

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SENECA NIAGARA CASINO & HOTEL

Seneca Niagara Casino & Hotel is the host hotel for the 2015 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 $119.00/night* by booking under the Casino Essentials room block.

*does not include occupancy fee.

Room rate: $119.00 (+ tax)





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.

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CPE PREREQUISITE REQUIREMENTS:

Basic learners are required to take the Casino Essentials self study AML (Title 31 and SAR 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 x106

Registration Price:
$595.00 until February 1st, 2015

Registration will increase
after February 1st, 2015 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 February 15, 2015 will be subject to a $150.00 cancellation fee. Refund requests received between February 16th and March 27th, 2015 will be subject to a $250.00 cancellation fee. Refunds will not be granted after March 28, 2015.

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.

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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

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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 at: info@casinoessentials.com or call us at: (877) 811-3534.

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