

Suspicious Activity Monitoring: What to Look for and How to Find It**Thursday, December 12, 2019****10:50 a.m. – 11:35 a.m.**

As the first line of defense, compliance advisors may identify money laundering and other financial crimes. It is the responsibility of all firm associates to understand these risks. Join FINRA staff and industry professionals as they discuss new and concentrated areas of focus, such as terrorist financing, bribery and corruption. Attendees will also learn about new fraud trends and risks related to digital currencies.

Moderator: Scott Gilbert
Vice President and District Director, Member Supervision
FINRA New York District Office

Speakers: Katherine Johnson
Examination Manager
FINRA Anti-Money Laundering Investigative Unit (AMLIU)

Blake Snyder
Senior Director
FINRA Anti-Money Laundering Investigative Unit (AMLIU)

Suspicious Activity Monitoring: What to Look for and How to Find It Panelist Bios:

Moderator:

Scott M. Gilbert is FINRA Vice President and New York District Director, responsible for the District's examination and risk monitoring programs. From 2013 to 2019, he was a FINRA Senior Director with responsibility for the New York District's large firm examination and cause examination programs. From 2004 through 2013, Mr. Gilbert was employed at UBS Financial Services Inc. in various roles including Executive Director and Head of Compliance for the Wealth Management Advisor Group of UBS, with responsibility for compliance matters and policies relating to the broker-dealer's financial advisors. From 2006 through 2010, he was Senior Associate General Counsel and head of the group responsible for internal investigations and disciplinary recommendations at UBS. In that role, he advised the firm's management in all aspects of issues related to employee compliance with firm policies and industry rules, regulations and laws. From 2000 to 2004, Mr. Gilbert was Vice President and Senior Counsel with Merrill Lynch & Co., where he was responsible for global regulatory matters and internal investigations. Before that, he was a trial counsel with the Division of Enforcement of the New York Stock Exchange, responsible for enforcing the rules of that self-regulatory organization, investigating customer complaints and prosecuting disciplinary actions. Mr. Gilbert was at the NYSE from 1995 to 2000. He also was a litigation attorney in private practice from 1990 to 1995, with a focus on complex commercial litigation and securities class actions. Mr. Gilbert is a graduate of Columbia University and New York University School of Law.

Speakers:

Kate Johnson is Examination Manager in FINRA's AML Investigative Unit, where she routinely works to address complex money laundering and fraud risks. After joining FINRA in 2013, Ms. Johnson worked on cycle examinations in the New York District Office as well as a specialized team focusing on the examinations of large broker-dealers. Ms. Johnson received her BA in Business from Franklin & Marshall College and is CAMS certified.

Blake Snyder is Senior Director of FINRA's AML Investigative Unit, which consists of a specialized team of examination staff that conduct complex Anti-Money Laundering examinations. The AMLIU's other functions include providing guidance to FINRA examination and Enforcement staff in connection with examinations and investigations; providing training to FINRA staff throughout the country; and providing education and training to the industry on AML issues. Mr. Snyder assists in developing FINRA's AML-related priorities and serves as a Regulatory Specialist within FINRA in the areas of AML, fraud and financial crime. Mr. Snyder holds the Certified Regulatory and Compliance Professional™ (CRCP)™ designation, and graduated from Florida State University with a Bachelor's degree in Finance. Mr. Snyder works from FINRA's Florida Office, and has been with FINRA for 19 years.

2019 FINRA New York Region Member Forum
December 12, 2019 | New York, NY

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Panelists

■ Moderator

- **Scott Gilbert, Vice President and District Director, Member Supervision, FINRA New York District Office**

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- **Katherine Johnson, Examination Manager, FINRA Anti-Money Laundering Investigative Unit (AMLIU)**
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