

MONEY LAUNDERING.COM
15th Annual International Anti-Money Laundering Conference
 March 15-17, 2010 | The Westin Diplomat | Hollywood, Florida



STREAMLINING COMPLIANCE EFFORTS TO EFFECTIVELY MEET CHANGING REGULATORY DEMANDS

Diane Horn
AML Officer
 Northwestern Mutual Investment Services, LLC
 Northwestern Mutual Wealth Management Company

March 15, 2010

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Northwestern Mutual Background

- Mutual Insurance Company
- Broker/Dealer & Investment Advisor
- Trust Company
- U.S. Based Business
- Products & Services
 - Life Insurance
 - Long Term Care
 - Disability Income
 - Mutual Funds
 - General Securities
 - Financial Planning
 - Trust
 - Investment Management
 - Advisory

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Enterprise AML Program

- AML Compliance Officers
 - Each entity has an assigned AML officer
- AML Committee
 - Comprised of AML officers and personnel from various business units and operating subsidiaries
 - Oversight of AML, CIP and OFAC, and identity theft programs
 - Oversees training requirements
 - Monitors progress of open audit issues

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Leveraging Resources

- AML automated transaction review
- Business areas responsible for monitoring
- AMLCO systems oversight
- Special investigation unit
- Centralized case management
- Complex case investigations and recommendations
- Fraud investigations and reporting

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Proactive Approach

- Identify synergies
- Mock audit
- Risk assessment
- Management updates
- System enhancements
- Flexibility

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