

## ANTI-MONEY LAUNDERING & FIGHTING FINANCIAL CRIME FOR SENIOR MANAGEMENT

7<sup>th</sup> – 8<sup>th</sup> May 2019, Holiday Inn Resort, Port Vila, Vanuatu

Financial crime and anti-money laundering are some of the biggest challenges facing the financial sector today as the scale of fines handed out by regulators are increasing. Hence, it is imperative that all those working in this business and those providing services to financial firms are aware of the nature of financial crime and how they can take steps to stop it. The tone should be set from the top and our market leading, 2-day advanced course is packed with case-studies, recent examples of financial crime and facilitated interactively to allow the senior management of financial institutions to work through issues and put in place necessary measures to protect their businesses, customers and themselves.

### Learning Objectives

- Understand the enormous size of the problem of financial crime & AML
- Examine global regulatory standards and how they are changing
- Comply with the requirements laid down by the regulators
- Recognize on how to dealing with sanctions & how to identify sanction breakers
- Evaluate & refine your due diligence process
- Identify various types of suspicious transactions and take the necessary actions required by the law
- Formulate appropriate measures to prevent attempts by parties to launder money through the organization
- Ensure your policies & procedures capture the right AML/FC data
- Apply best practice in spotting and dealing with potential high risk individuals & corporate
- Organize AML/FCC Department that protects you, your customers and your business

# AGENDA

## Day 1

### Session One: Financial Crime & Anti-Money Laundering

- What do we mean by financial crime & modern advanced typologies
- Global size of the problem and geographical 'hot-spots'
- The basic structure of money laundering transactions
- Tax avoidance/evasion – differences and impact on financial institutions
- The role of the Board & senior management in fighting financial crime

*By the end of this session, delegates will be able to identify the different types of financial crime and explain the different stages of laundering money through the financial system*

### Session Two: AML 'Pressure Points'

- Trade, trade finance and flaws in banking/regulatory structures
- Payments, payment systems and their vulnerability
- Commercial banking money laundering examples
- How the retail banking system is used to launder money
- Investment banking indicators and examples
- The real estate sector and its vulnerability
- How money is laundered through the luxury sector [inc. casinos]

*By the end of this session, delegates will be able to identify money laundering schemes that have occurred in the different sectors of financial services and analyse/critique efforts to stop money laundering*

### Sessions Three: Regulatory Bodies, New Regulations & their Impact

- The role of multi-jurisdictional regulators in combating financial crime
- Understanding the consequences of non-compliance for financial institutions
- Examining new & forthcoming regulations [e.g 5MLD/ FinCen]
- FCPA and trans-national issues
- Changes to local regulations and their impact
- How to deal with political and regulatory risk

*By the end of this session, delegates will be able to name the global regulatory bodies and their functions as well as define the impact of the tightening of global regulations.*

### Session Four: Cyber Crime

- The rise of the use of technology in criminal transactions
- Cryptocurrencies and their impact
- Examining the difficulties in regulating technological crime
- Instances of financial institutions under attack

*By the end of this session, delegates will be able to identify the technological advances that pose a threat to a financial institution and how they might control how criminals use technology*

## Day 2

### Session One: Sanctions

- Defining sanctions
- Who and what are sanctioned?
- OFAC and other sanction bodies
- The changing environment – recent changes by the US
- Examples of sanctions breaches and penalties

*By the end of this session, delegates will be able to identify the different types of financial sanctions and explain how the different sanction bodies work as well as defining the impact of recent changes in the US sanctions regime*

### Sessions Two & Three: KYC, Hiding Stolen Assets and the Proceeds of Crime

- Structures used to hide criminal gains
- Trusts, bearer share corporations and offshore companies
- Other LLCs, Foundations and charities
- Jurisdictions with weak governance used to conceal ownership & beneficiaries
- Techniques used to establish identities of key parties
- Why are regulators concentrating on KYC?

*By the end of this session, delegates will be able to identify the key structures used to hide stolen assets and also the different parts of the world that are used to conceal ownership of these assets. We will also examine the regulatory imperative to establish who banks are really dealing with and the impact of the Panama & Paradise Papers*

### Session Four: Creating a 'Best in Breed' AML/FCC Department

- Compliance is everyone's business
- Three lines of defence?
- What do regulators look for in AML structures?
- Creating a world-class compliance culture
- AML policies & procedures that really work – protecting you, your customers and your business
- Case studies of compliance successes and failures

*By the end of this session, delegates will be able to identify the key strengths and weaknesses in compliance structures and how regulators view best practice in this area.*

### Session Five: Creating a Template for Fighting Financial Crime & AML

- During this session, delegates will use the knowledge and skills acquired throughout the day to create a template of 'best practice' for identifying financial crime and dealing with issues arising from AML issues in their day-to-day job. To do this, they will work in groups but prepare their own action plan to take away.
- This session re-enforces the key points taught throughout the day and ensures that new skills are embedded for the future.

### Course review & summary

## SPEAKER



**Mark Anderson**  
**MA [Cantab], AMICA,**  
**CMEA; CEO**  
*Cambridge Centre of  
Performance & Excellence*

Mark is an experienced trainer and consultant with global knowledge, having lived & worked in the UK, Russia, Qatar and India and trained in almost every country. Having started his career as a stockbroker in London, he worked for US, Dutch and UK banks as a Director in the Sales & Sales Trading departments. He then became a partner in a small investment bank where he was Head of Trading and oversaw the Compliance function. Mark has been Global Head of L&D at a Russian investment bank and at a major Middle Eastern Sovereign Wealth Fund as well as a World Cup Organising Committee. He also managed the training section of a major offshoring project to India, training over 1500 staff in settlement, custody and compliance. In recent years, Mark has been one of the highest rated trainers in Anti-Money Laundering & Financial Crime Compliance, training in over 60 different countries in the last 3 years, including a global AML project for one of the world's largest banks. He has trained staff in every area of banking and finance including [but not limited to] retail & corporate banking, investment banking, SME banking, private banking, asset management, hedge funds, SWFs and associated service providers. Comfortable at all levels, he has worked with main Board members to new graduate hires and induction programmes.

**Clients Mark has worked for and allowed to tell other clients about include:**

Qatar Investment Authority | Q2022 Supreme Committee | HSBC | XAC Bank | Credit Suisse | Barclays | Bank of China | Ashurst | Stapleford Asset Management | ABN Amro | Clearstream | Irish Times Training | Watson Farley & Williams | Carousel | BNP Paribas | Bank Inter | Renaissance Capital | RIM

### This course is of most benefit to:

- C-Suite Executives
- Board of Directors
- Heads of Compliance
- Heads of Risk Management
- Heads of Internal Audit
- Heads of Operations
- Heads of Sales
- Heads of Legal
- Regulators

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## BOOKING DETAILS

I am booking:	Price per Delegate	Total Price	Early Bird (10% Discount)
<input type="checkbox"/> 1 delegate	US\$ 1,499	<b>US\$ 1,499</b>	US\$ 1,349
<input type="checkbox"/> 2 delegates (5% Discount)	US\$ 1,424	<b>US\$ 2,848</b>	US\$ 2,563
<input type="checkbox"/> 3 delegates (15% Discount)	US\$ 1,274	<b>US\$ 3,822</b>	US\$ 3,440
<input type="checkbox"/> 4 delegates (20% Discount)	US\$ 1,199	<b>US\$ 4,797</b>	US\$ 4,317
<input type="checkbox"/> 5 delegates (30% Discount)	US\$ 1,049	<b>US\$ 5,247</b>	US\$ 4,722

\* Further attractive packages are available for groups of more than five. Please contact us directly.

**Online training option:** I would like to also enrol for the online course, **Operational Risk Management for Financial Institutions** for the special price of RM200 per user. Please tick here

### Available Discounts

**Early Bird:** Registrations received on or before 7<sup>th</sup> April 2019, will receive a 10% discount. No discount shall be given to registrations received after this cut-off date.

**Discount for Active Subscribers of Islamic Finance news:** If the delegate is a current IFN subscriber, he/she shall receive a flat 10% discount from the normal fee. Please tick here

**Loyalty Program:** 25% discount on other seminars attended within a 6-month period and non-transferrable. Please tick here

## DELEGATE DETAILS

Name	Job Title	Email address	Telephone
1 _____ / _____ / _____ / _____			
2 _____ / _____ / _____ / _____			
3 _____ / _____ / _____ / _____			
4 _____ / _____ / _____ / _____			
5 _____ / _____ / _____ / _____			

## WHO TO INVOICE AND CONTACT?

Please tell us who we should invoice. It is also helpful for us to have the name of an administrator with whom we can liaise directly.

Contact person for invoicing: \_\_\_\_\_ Job Title: \_\_\_\_\_  
Email: \_\_\_\_\_ Tel: \_\_\_\_\_ Fax: \_\_\_\_\_  
Billing Address: \_\_\_\_\_ Original Invoice for Courier: YES  / NO   
Contact person to send administration details: \_\_\_\_\_  
Job Title: \_\_\_\_\_ Email: \_\_\_\_\_ Tel: \_\_\_\_\_

Payment can be made by cheque or bank transfer. A notification will be sent to you once payment has been received.

I wish to pay by: Cheque/bankers draft  Telegraphic transfer  Credit Card

## APPROVING MANAGER

To process your registration we require the name and signature of a manager who is authorized by your organization to approve training expenditure.

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Authorizing signature \_\_\_\_\_ (mandatory)

Yes, I have read and understood the booking and cancellation policy below.

## SEND US YOUR REGISTRATION!

By email: [seminars@redmoneygroup.com](mailto:seminars@redmoneygroup.com) By fax: +603 2162 7810

You may also book online at <http://www.REDmoneyevents.com>

Please call us on: +603 2162 7800 or +603 2162 7802 if you require assistance.

Our address is: REDmoney, Suite 22-06, 22<sup>nd</sup> Floor, Menara Tan & Tan, 207, Jalan Tun Razak, 50400 Kuala Lumpur

### Booking, Payment and Cancellation Policy – important, please read carefully

By completing, signing and sending us this registration form you are confirming delegate places on the seminar. You are also confirming your understanding of our Booking, Payment and Cancellation Policy.

**Cancellation:** If delegates cannot attend the seminar replacement participants are always welcome. Otherwise delegates must request in writing (letter, fax or email) to cancel registration/s or transfer to a different seminar at least 21 days before the seminar start date to be eligible for a refund, less a 5% administration fee. Delegates who cancel within 21 days of the seminar start date, or who do not attend, are liable to pay the full seminar fee and no refunds will be given. Instead fees will be converted to a IFN Seminars voucher equivalent to the original fee, less a 15% administration charge. This voucher is transferable within your organization and must be redeemed within one year of issue or become void. If a seminar is postponed for whatever reason delegate bookings will be automatically transferred to the new seminar date. Delegates who wish to transfer to a different seminar will be subject to the same terms as above and charged the difference in seminar fees. No refunds or seminar vouchers will be issued for a no-show.

**Payment Terms:** Payment Terms: All seminars fees are to be received within 14 days of invoice date and all fees are to be paid before the seminar start date. REDmoney shall receive the full seminar fee with no deductions of any description. All telegraphic transfer fees, taxes and levies (domestic or otherwise) shall be borne by the sponsoring organization.

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Seminar Venue: Full details of the venue will be sent to you upon registration.

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