

## Programme of Training Courses Q1 & Q2 2009 (Belfast, Northern Ireland Programme)

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**TO MAKE A BOOKING SEND AN EMAIL TO [BOOKINGS@COMPLIANCEIRELAND.COM](mailto:BOOKINGS@COMPLIANCEIRELAND.COM) with the course name, date and your full contact details. Full course and venue details on following pages**

### **Anti-Money Laundering & Financing of Terrorism: Financial Institutions under the 3<sup>rd</sup> EU AML Directive (FULL DAY)**

**Thurs 19<sup>th</sup> February: Full Day, UK Version – BELFAST - 9.00a.m. to 5.00p.m. Cost: £500 (no VAT), lunch included**

**Full day:** This practical FULL DAY course, prepared and delivered by internationally experienced anti-money laundering consultants, including a former FSA regulator & lawyer and a Chartered Accountant, covers the full amendments to UK's anti-money laundering and counter-financing of terrorism laws, regulations and Guidance Notes **effective 15<sup>th</sup> December 2007** which implemented the **3<sup>rd</sup> EU AML Directive**. Examining: (a) the laws and regulations; (b) the Sanctions Lists requirements; (c) the Guidance Notes; (d) the FATF 40 recommendations and 9 special recommendations; (e) FSA's, SOCA's and HM Customs & Excise recent financial crime announcements; and (f) of course - the implications of the **2007 Money Laundering Regulations and JMLSG Guidance**, you will be up-to-speed with the latest developments and requirements.

[See page 2 for full details of course.](#)

**We will be announcing other courses for Northern Ireland (Belfast). To express interest, on a non-obligation basis, for details for these courses, please send an email to [email@complianceireland.com](mailto:email@complianceireland.com) stating the name of the course you are interested in and providing your contact details. We'll we keep you up-to-date with details of these courses in Northern Ireland**

### **Data Protection of Customer & HR records and How to Conduct a Data Protection Audit – for Financial Firms**

**Full day:** This full day course is essential for any firm that uses personal data of customers and/or staff. Delivered in two workshops: the morning workshop examines (a) the Data Protection laws & the eight data protection principles (i.e. collection, treatment, permitted processing, retention, storage & security of electronic and manual personal data); and (b) practicalities of compliance (i.e. drafting policies & procedures, staff training, privacy statements) and responsibilities of the Data Protection Officer. The afternoon workshop develops relevant skills required to confidently carry out a data protection audit. Should be attended by Data Protection, HR and Client Facing Staff of firms holding personal and sensitive personal data of customers, staff & others (including internet and telephony records).

### **The Role of the Compliance Officer - for FSA regulated firms**

**Full day:** Course provides an intensive and practical examination of the growing regulatory issues, including laws & rules, domestic and international developments and relevant FSA Consultation Papers, which **FSA regulated firms** must know and understand to help demonstrate compliance. The course will explain professional and personal responsibility of authorised persons including Compliance Officers and senior management and examines important practical areas of compliance not addressed in the rulebooks, i.e. structuring your Compliance Function and writing your Compliance Manual.

### **Directors Duties and Corporate Governance - Credit, Financial and Insurance Institutions (HALF DAY)**

**Half day:** This course provides Directors and senior management with a practical understanding of key corporate governance obligations. With the advent of Market Abuse, MiFID, AML, Insurance and other regulatory sourcebook requirements, this course is a 'must attend' for executive directors, non-executive directors and senior management.

**The creators and presenters of this course are: (i) non-executive directors of financial firms; (ii) undertaking the 'Chartered Director' qualification (the international benchmark for directors); (iii) hold post-graduate qualifications in corporate governance; and (iv) present extensively on the topic of directors' duties at financial firms.**

### **Establishing the Internal Audit Function**

**Half day:** This new half day course covers the basic foundations for establishing and running an effective internal audit function in regulated financial services businesses and shows how the internal audit function will add to the bottom-line (or at very least, not detract from the bottom-line!). An effective and well structure internal audit function is not just imperative, but is a regulatory requirement, under UK (and overseas) banking, MiFID and insurance regulatory systems. **The current banking and investment scandals both in the UK and abroad make this course a must for senior management and internal auditors.**

Download this programme at <http://www.complianceireland.com/Training.html>

## **UK ANTI-MONEY LAUNDERING & COUNTER FINANCING OF TERRORISM FOR FINANCIAL INSTITUTIONS (FULL DAY) - BELFAST**

See <http://www.complianceireland.com/AMLUKFI.html>

This practical FULL DAY course, prepared and delivered by internationally experienced anti-money laundering consultants, including a former FSA regulator & lawyer and a Chartered Accountant, covers the full amendments to UK's anti-money laundering and counter-financing of terrorism laws, regulations and Guidance Notes **effective 15<sup>th</sup> December 2007** which implemented the **3<sup>rd</sup> EU AML Directive**. Examining: (a) the laws and regulations; (b) the Sanctions Lists requirements; (c) the Guidance Notes; (d) the FATF 40 recommendations and 9 special recommendations; (e) FSA's, SOCA's and HM Customs & Excise recent financial crime announcements; and (f) of course - the implications of the **2007 Money Laundering Regulations and JMLSG Guidance**, you will be up-to-speed with the latest developments and requirements.

**Do you know that:** (i) SOCA received more than 220,484 SARs in 2008; that the UK implemented the 3<sup>rd</sup> EU AML/CFT Directive on 15<sup>th</sup> December 2007 and that lawyers and MLROs have been charged with AML/CFT offences?; (ii) the FSA sanctioned and fined, in November 2008, a Money Laundering Reporting Officer for control failures at his firm?

**9.00am to 5.00pm Thursday 19<sup>th</sup> February 2009**

Venue: Europa Hotel, Great Victoria Street, Belfast BT2 7AP

Cost: £500 for one attendee, £950 for 2 attendees and £1,350 for 3 attendees from same firm (VAT exempt)

Content	Time
1 <b>The day's objectives &amp; setting the public policy context</b>	0900-0930
2 <b>Key legal requirements</b> - the practical effect of the 3rd EU AML Directive on UK financial services businesses (operational effect of the new requirements is covered in Session 5: covering all 2007 amendments to the Proceeds of Crime Act 2002, Terrorism Act 2000, Money Laundering Regulations 2007, the 2007 JMLSG Guidance Notes, Sanctions Regulations and foreign corrupt practices legislation.	0930-1100 (break 1100-1115)
3 <b>Identifying and reporting suspicious activity</b> - covering the elements of becoming 'suspicious', local and international case studies, what happens after you make a suspicious activity report (SAR), avoiding the tipping-off offence, transacting business after filing a SAR (consent and moratorium periods), sharing information with 3rd parties and group entities without 'tipping-off'.	1115-1230
<b>Lunch: 12.30-13.30</b>	
4 <b>Operational requirements and how to implement your legal requirements</b> - practical information on implementing AML and CFT obligations into your business. This session covers verification of identity, exemptions, letters of assurance/introduction certificates, Customer Due Diligence (CDD - replacing KYC/KYB) responsibilities, record-keeping, the role of the MLRO and case studies. This section will also look at the AML problems at Sindicatum Holdings which led to the firm and its MLRO being fined.	1330-1445 (break 1445-1500)
5 <b>How to risk assess your business and help demonstrate your compliance</b> - the 2007 Money Laundering Regulations require firms to adopt a 'risk-based approach' to AML & CFT but neither the Regulations nor the new 2007 JMLSG Guidance Notes explain in detail what this means in practice. This session will explain how to risk assess your business in order to identify areas where you may be exposed to money launderers and financiers of terrorism. Attendees will receive: (i) an AML/funding of terrorist template policy & documentation to help you continue development of your internal controls and procedures; and (ii) risk profile templates for on-going monitoring.	1500-1600
6 <b>Training</b> - best practice approach to training, different types of training required for each of (a) Directors (b) Client-facing personnel & other organisational torch-bearers and (c) Other personnel.	1600-1630
7 <b>Enforcement</b> - a look at the law enforcement and the regulators' powers, local prosecutions and regulatory sanctions in the UK, Ireland & the USA to help attendees identify what to do to avoid similar regulatory sanctions (including personal sanctions against Compliance Officers and MLROs).	1630-1655
8 <b>Closing remarks</b>	1655-1700

**WHO SHOULD ATTEND:** MLROs, Compliance staff, Managing Directors, Executive and Non-Executive Directors, training department staff, in-house lawyers, internal auditors, transfer agency staff, documentation staff, marketing staff, dealers, brokers and all client-facing personnel. In addition to credit and financial institutions, stockbrokers, finance companies, insurance companies and transfer agents, Bureaux de Change, Money Transmission Businesses, Private Practice Solicitors and Accountants should also attend this course.

## How to Book & Pay

- **OPTION 1:** You can book and pay-online **by Credit Card** on the webpage of the course you wish to attend. A confirmation webpage will appear once your booking is completed with your receipt number and a further email will follow restating your receipt number and booking details. For multiple bookings use **Option 2** below for an invoice.
- **OPTION 2:** If you require an invoice send an email to [bookings@complianceireland.com](mailto:bookings@complianceireland.com), providing your name, employer name, contact telephone number, identifying both the name & the date of the course you wish to book. An automatic response will be emailed AND a further email attaching an invoice will be sent for payment. Under option 2 you can pay:

**by Cheque :** Send your cheque to **Compliance Ireland**, Lower Ground Floor, 13 Adelaide Road, Dublin 2.

**by Wire Transfer:** Wire your payment to **Bank of Ireland Inchicore, Dublin 8, Sort Code: 90-01-64, Account Name: Compliance Ireland, Account Number: 77062621 [IBAN IE93 BOFI 9001 6477 0626 21 BIC No BOFIE2D]** and use the invoice number as the payment reference.

**TERMS & CONDITIONS:** *Our Terms and Conditions and Cancellation Policy ('Terms') are located at [http://www.complianceireland.com/Events\\_Term\\_Cancel.html](http://www.complianceireland.com/Events_Term_Cancel.html). Please read the Terms before making your booking. A link to the Terms appears on each webpage advertising a course/Event. Please note that Compliance Ireland reserves the right to alter the content and/or cancel scheduled courses/Events. Where Compliance Ireland cancels a course/Event a full refund will be made. All bookings must be paid for in advance unless agreed otherwise. Please also see our Privacy Policy/Statement at <http://www.complianceireland.com/gpage.html>*

### About the trainers

**Peter Oakes** (Principal Director) - qualified Solicitor (in Ireland, the UK & Australia), former regulator (UK FSA Enforcement Officer & ASIC Senior Officer) and former Head of Legal & Compliance Functions for asset management & administration companies. Peter is a Member of the Panel Assessors appointed by the Financial Regulator and is a non-executive director of a regulated investment management company. Holds Graduate Diploma in Corporate Governance (Michael Smurfit School of Business, University College Dublin) and is undertaking the Chartered Director Qualification (IoD). Peter is a member of Association of Compliance Officers in Ireland & the Corporate Governance Association of Ireland.

**Kevin O'Doherty** (Principal Director) - a Fellow of the Institute of Chartered Accountants in Ireland. Kevin has held senior management roles in financial services firms, including Managing Director of the Irish trustee/custodial operations of a large international funds company. Kevin is a non-executive director of a financial trading company. He holds a Master of Business Studies (Finance) & a Postgraduate Diploma in Professional Accounting, both from University College Dublin. He is undertaking the Chartered Director Qualification (IoD) and is an (associate) member of the Association of Compliance Officers in Ireland.

**Compliance Ireland** commenced training and consulting services in Ireland in January 2004. **The business is 100% owned and operated by experienced Irish, UK & international financial services professionals.** Compliance Ireland has trained and delivered compliance presentations to more than 2,000 professionals from Ireland, the UK, other European Member States, U.S., Australia, the Middle-East and Africa (including company directors, Compliance Officers, MLROs, accountants, lawyers & HR professionals) across more than 400 Irish and UK financial services firms, law firms, universities and telecom businesses, plus in excess of 300 businesses based in other European Member States, the U.S., Australia, Middle-East and Africa.

We provide services to non-Irish businesses through our sister business, **City Compliance**, and we host [www.mifid.ie](http://www.mifid.ie), [www.antimoneylaundering.ie](http://www.antimoneylaundering.ie) and [www.privacy.ie](http://www.privacy.ie).

Visit [www.complianceireland.com](http://www.complianceireland.com) for more about our services.

### Here are more quotes from past attendees:

- "The way in which the material was presented was stimulating." and "... managed to make what is quite a technical subject very interesting" (Dublin Solicitors – AML attendees)
- "... worth attending for the number of absolutely crucial points driven home well." (Fund Administrator – AML attendee)
- "Really clarified what areas of risk I should be concerned with." (Financial Institution - Compliance Risk Monitoring attendee)
- "Excellent course – will definitely use Compliance Ireland in the future" (Bank & Investment Firm - Compliance Officer attendee)
- "Course material excellent- very informative & relevant as always" (Insurance Company – Compliance Statement attendee)
- "A very well presented course. A complex area that was approached logically. Obviously presenter knew the area extremely well and did not have to hide behind jargon or legislation. His ability to debate the issues was good also. The course was brought to life with real life examples." ((Irish) Financial Regulator - AML attendee)

Read more testimonials at <http://www.complianceireland.com/Testimonials.html>

Visit <http://www.complianceireland.com/Training.html> for further information

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