



Managing Higher Risk in Money Laundering & Financial Crime

An Interactive Workshop for Senior MLROs & Compliance Professionals

4 February 2009

**The Securities & Investment Institute,
London EC3M 1AE**

Introduction

In order to ensure your AML/FC practice is 'fit for purpose' you must be up to date with all new developments. The Managing Higher Risk in Money Laundering & Financial Crime workshop will ensure that the lessons from FSA enforcement, as well as the developing techniques devised by criminals, are factored into your controls.

Specifically designed for senior, experienced MLROs the workshop provides each delegate with a comprehensive understanding of the emerging AML/FC risks. The unique forum also enables delegates to explore practical ways to ensure their firm can manage and withstand such risks.

Highly interactive, the workshop encourages delegate participation; questions and own experience input are actively encouraged.

KEY LEARNING OBJECTIVES

- Gain an understanding of some of the most important emerging money laundering methodologies
- Understand how enhanced due diligence is introduced into some corporate and trust structures
- Explore what is meant by 'equivalence'
- Gain new perspectives on PEPs and corruption issues
- Benchmark the suitability of your existing controls to cope with the emerging risks
- Improve controls and reduce the risk of exposure to relationships with terrorist funders and facilitators
- Acquire a new vision of the importance of applying international sanctions

WHO SHOULD ATTEND

- MLROs
- Senior managers responsible for AML/FC
- Nominated Officers
- Heads and Managers of Financial Crime
- Risk Managers
- Operational Risk Managers having AML/FC responsibilities
- Compliance Officers with AML/FC responsibilities
- Internal Audit Staff

WORKSHOP LEADERSHIP

The workshop will be facilitated by MHA, the well known financial crime trainers and consultants, specialists in anti-money laundering, financial fraud and compliance services. MHA, now part of the prestigious international law firm of Baker Platt, works across all sectors covered by the UK Money Laundering Regulations and with organisations affected by financial crime internationally.

MEMBERSHIP DISCOUNTS

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EMERGING MONEY LAUNDERING METHODOLOGIES:

- Why the traditional model is largely out of date
 - Beneficial ownership

CORPORATE & TRUST STRUCTURES:

- Types of structures
- Who really runs the show?
 - The FATF Report
- Case study applying enhanced due diligence

WHAT IS 'EQUIVALENCE'?

- Is the JMLSG Note (August 2008) as good as it gets?
 - How can we measure equivalence?
 - A suggested methodology

PEPs, CORRUPTION AND SANCTIONS

- Corruption methodologies
 - Sanctions regimes
- Case study of breaches
- Interaction with PEPs

TERRORIST FINANCING

- Key risk indicators
- Lessons from the funding of previous atrocities

MARKET ABUSE AND INSIDER TRADING

- Lessons from FSA enforcement 2007/2008
 - Practical control issues

