

# The Securities & Investment Institute's 9th Annual **FINANCIAL CRIME & FRAUD CONFERENCE**

## Fighting financial crime in a recession

**23 April 2009**

Haberdashers' Hall,  
18 West Smithfield, London EC1A 9HQ

### TOPICS TO BE ADDRESSED:

- The FSA's 2009 agenda
- Prevention, detection and disruption of financial crime
- SOCA and the SARs regime
- Sanctions and priorities for securities firms
- Terrorist financing in the UK
- Case study: protecting your firm against internal fraud
- The FSA: new approaches to enforcement policy

“Key to reaching our goal, is to create a culture of sharing: sharing of intelligence and of best practice, so that we can learn from each other.”

Philip Robinson MSI  
Financial Crime & Intelligence Division Director, FSA

### HEAR FROM THE EXPERTS:

David Blackmore MSI, Senior Consultant, MHA

Jim Fitzpatrick, Head of SAR Control and Consent,  
FIU, SOCA PROCEEDS OF CRIME

Detective Superintendent Colin Cowan,  
CITY OF LONDON POLICE

Simon Morris, Partner, CMS CAMERON MCKENNA

Peter Burrell, Partner, HERBERT SMITH

Martine Davies, Head of Compliance Branch,  
Asset Freezing Unit, HM TREASURY

Simon Wilkin, MLRO, INVESTEC BANK

Paul Newham, Detective Inspector,  
NATIONAL TERRORIST FINANCIAL INVESTIGATION  
UNIT

Mark Daws, Director,  
Head of UK Anti-Money Laundering, KPMG

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# FINANCIAL CRIME AND FRAUD CONFERENCE

## WHY ATTEND THIS CONFERENCE?

The Securities & Investment Institute is pleased to welcome you to this must attend event for those involved in the prevention of money laundering and fraud.

According to the FSA, testing times and tighter economic conditions could lead to an increase in the incidence or discovery of some types of financial crime. CIFAS figures suggest this is already happening: in the first 10 months of 2008 the largest banks in the UK had made 10% more reports than for the whole of 2007.

Now in its ninth year, the SII's topical Financial Crime & Fraud Conference will bring together expert speakers to discuss and debate the financial crime and fraud issues facing the industry in a recession.

## WHO SHOULD ATTEND?

- MLROs
- Heads of Compliance
- Heads of AML Compliance
- Heads of Financial Crime
- Compliance Officers
- CEOs
- Managing Directors
- Compliance Directors
- Risk Managers
- Legal Officers
- Regulatory Compliance Managers

## HEAR WHAT PAST ATTENDEES HAVE TO SAY

**"A WELL-ORGANISED HIGHLY RELEVANT INTERESTING AND INFORMATIVE EVENT. MY FIRST TIME AT THIS CONFERENCE AND NOT MY LAST!"**

Deputy MLRO & Deputy Compliance Officer,  
Butterfield Private Bank

**"AN EXCELLENT INSIGHT INTO NEW AND IMPORTANT PRACTICES WITHIN THE INDUSTRY, EXCEPTIONALLY WELL ELUCIDATED BY WELL-SELECTED KEYNOTE SPEAKERS"**

Associate, First Equity

**"VERY INFORMATIVE ON CURRENT EVENTS IN THE INDUSTRY"**

Director - Internal Audit, Credit Suisse

### 09:30 CHAIRMAN'S OPENING REMARKS

David Blackmore MSI, Senior Consultant, MHA

### 09:40 SOCA'S CONSENT REGIME: WHERE ARE WE NOW?

- What are firms supposed to be doing?
- SOCA and the SARS regime

Jim Fitzpatrick, Head of SAR Control and Consent, FIU,  
SOCA PROCEEDS OF CRIME

### 10:20 FIGHTING FINANCIAL CRIME IN A RECESSION

- Ensuring the industry is doing its part
- How does the current environment impact financial crime?

Detective Superintendent Colin Cowan, CITY OF LONDON POLICE

### 11:00 MORNING BREAK

### 11:20 SANCTIONS: PRIORITIES FOR SECURITIES FIRMS

- Firms making the wrong assumptions
- Recent cases

Martine Davies, Head of Compliance Branch, Asset Freezing Unit,  
HM TREASURY

### 11:50 SANCTIONS: KEY LEGAL CONSIDERATIONS

- The objectives of sanctions
- UK, EU and US sanctions
- The key risks for firms posed by sanctions
- Complying with sanctions programmes
- Handling breaches of sanctions legislation

Peter Burrell, Partner, HERBERT SMITH

### 12:20 CASE STUDY: PROTECTING YOUR FIRM AGAINST INTERNAL FRAUD

- Fraud identification
- How to stop red flags
- Police considerations
- Internal audit reviewing
- Reviewing of processes

Simon Wilkin, MLRO, INVESTEC BANK

### 12:50 LUNCH

**13:50 PANEL: THE UK FINANCIAL CRIME FRAMEWORK WILL NEVER DELIVER THE DESIRED OUTCOME UNLESS SENIOR MANAGEMENT ARE PROSECUTED**

Speakers from the day

**14:30 THE FSA: NEW APPROACHES TO ENFORCEMENT POLICY**

- The FSA's 2009 approach to financial crime
- Focus on individuals
- Targeting insider dealing
- What firms need to do about fraud
- When the FSA acts - and when it doesn't

Simon Morris, Partner, CMS CAMERON MCKENNA

**15:00 AFTERNOON BREAK**

**15:20 ENSURING FINANCIAL CRIME IS AT THE TOP OF SENIOR MANAGEMENT'S AGENDA**

- Balancing competing demands
- How can you push the message up the line?

Mark Daws, Director, Head of UK Anti-Money Laundering, KPMG

**15:50 TERRORIST FINANCING IN THE UK**

- What are we seeing?
- How we expect it to develop
- Recent experiences

Paul Newham, Detective Inspector,  
NATIONAL TERRORIST FINANCIAL INVESTIGATION UNIT

**16:20 CHAIRMAN'S CLOSING REMARKS**

**16:30 CLOSE OF CONFERENCE**

## SII CPD SCHEME



Members who attend any SII conference will have their CPD hours added automatically to the SII CPD scheme log.

For further details please visit the CPD scheme pages at [sii.org.uk](http://sii.org.uk)

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For more information please contact Emma Jenkin on +44 20 7645 0607 or [emma.jenkin@sii.org.uk](mailto:emma.jenkin@sii.org.uk)

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