



Financial Crime

28 – 29 April 2009

Held at: FINRA International, New Broad Street House, 35 New Broad Street, London EC2M 1NH

Day 1: 28 April 2009	
8.15am – 8.45am	Registration & Continental Breakfast
8.45am – 9.00am	Introduction and Programme Overview Myles Allison, Senior Director, FINRA International
9.00am – 10.30am	Background to legislative and regulatory developments <ul style="list-style-type: none"> ▪ Overview of the relevant legislation ▪ Key legal and regulatory requirements ▪ Latest developments and hot topics ▪ Case studies Brian Dilley, Partner, European Head of AML Services, KPMG Forensic
10.30am – 10.45am	Break
10.45am – 12.15pm	Financial Crime: Implementing a holistic risk-based approach <ul style="list-style-type: none"> ▪ The risk-based approach and senior management ▪ Risk assessment factors – Product vs. Client vs. Geography ▪ Managing risk and looking at risk concentrations David Skade, MLRO and Head of Financial Security, Calyon
12.15pm – 1.00pm	Lunch
1.00pm – 2.15pm	Customer Due Diligence and Monitoring <ul style="list-style-type: none"> ▪ Identification Requirements ▪ System Requirements ▪ Higher Risk Business ▪ Monitoring James Gillan, Director, Group Compliance UK, WestLB
2.15pm – 2.30pm	Break
2.30pm – 3.30pm	Suspicious Transactions and Suspicious Activity Reporting <ul style="list-style-type: none"> ▪ Why do we need a SAR regime? ▪ What are the requirements? ▪ Consent vs. Tipping Off – the MLRO's dilemma ▪ MLRO reporting ▪ International reporting Joe Brownlee, Money Laundering Reporting Officer, HSBC Bank plc Paul Plant, Head of ML Control, Retail & Commercial Banking, HSBC Bank plc
3.30pm – 3.45pm	Break
3.45pm – 4.45pm	Bribery and Corruption <ul style="list-style-type: none"> ▪ Overview and latest developments ▪ Case Study – Aon Limited Lisa Osofsky, Financial Services Advisor, Control Risks Alexandra Maddy, Senior Consultant, Control Risks



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Day 2: 29 April 2009	
8.45am – 9.00am	Continental Breakfast
9.00am – 10.30am	Operational Risk, Compliance and Audit <ul style="list-style-type: none"> ▪ Cultural issues ▪ Managing the silos ▪ Working together for efficient risk management ▪ Management information Emma Badman, Deputy Head of Global Wholesale Compliance, ING Bank
10.30am – 10.45am	Break
10.45am – 12.00pm	Data Security and Fraud <ul style="list-style-type: none"> ▪ Understanding and assessing the risks ▪ Fraud prevention: policy and strategy ▪ Reputational implications of getting it wrong David Alexander, Director of Forensic Services, Smith & Williamson John Holden, Head of Forensic Technology, Smith & Williamson
12.00pm – 12.45pm	Lunch
12.45pm – 2.15pm	Crisis Management in a Criminal Context <ul style="list-style-type: none"> ▪ Why is the FSA pursuing more criminal cases? ▪ What are your obligations when you become aware of an investigation? ▪ Managing conflicts of interest between employer and employee ▪ Providing information vs. adverse inferences from silence ▪ Should you conduct an internal investigation? ▪ New FSA tactics – cold calling; powers to grant immunity Sara George, Senior Associate, Allen & Overy
2.15pm – 2.30pm	Break
2.30pm – 3.45pm	Crisis Management <ul style="list-style-type: none"> ▪ Case study Chris Cowin, Senior Manager, Forensic Services, PricewaterhouseCoopers LLP
3.45pm – 4.00pm	Break
4.00pm – 5.30pm	Course Exam