

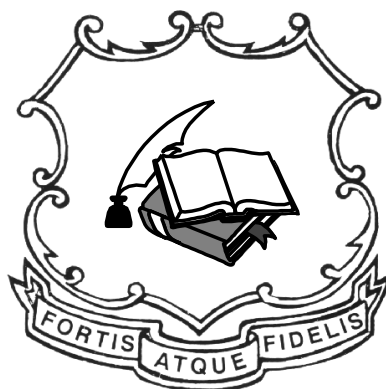
FINANCIAL CRIME COMPLIANCE PROFESSIONALS CERTIFICATION PROGRAMME

25th September 2019

At WOMBLE BOND DICKINSON

4 More London Riverside, London, SE1 2AU

(Nearest Station: London Bridge)



**DEVELOPING PRACTICAL SKILLS AND
KNOWLEDGE OF PRACTITIONERS**

ORGANISED BY THE COMPLIANCE REGISTER

Telephone: (01908) 322450, Mobile: 07954 104534

Email: Events_Info@ComplianceR.com

Website: www.ComplianceR.com

THE 2019 FINANCIAL CRIME COMPLIANCE (FCC) PROFESSIONALS CERTIFICATION PROGRAMME

INTRODUCTION

The Compliance Register, has since 1995, conducted practical compliance training for compliance professionals and senior executives.

OBJECTIVES

The objectives of this one-day intensive course are to train and assist FCC professionals to adequately perform their professional duties. Many, if not all enforcement cases have their roots in poor compliance arrangements and lack of proper policies and procedures to deal with operational compliance. At a time of increased regulatory “aggressiveness” and budgetary constraints, being able to manage the FCC function poses increasing challenges as new threats emerge in a fast changing environment.

To obtain the FCCP Certification, delegates will be required to submit course work within agreed time limits and meet the required standards. [Please note obtaining certification is not mandatory.](#)

We are pleased to run this event with the support of key industry players. [The maximum number of attendees is limited to 30.](#)

Documentation, lunch and refreshments will be provided.

<u>Course Fee</u>	<u>Fee</u>	<u>VAT</u>	<u>Total</u>
Per delegate:	230.00	46.00	£276.00

VAT has been applied at the rate of 20%.

Reservations, Cancellations & Refunds

Space is limited to 30 attendees. To avoid disappointment, please complete and return the Registration Form by email as soon as possible followed by your cheque in the post. If requested, we can also invoice you for payment. Places will be allocated on a “first come first served” basis based on receipt of your registration. Once you have submitted your registration, we will regard it as a firm booking to be followed by payment in full. No refunds will be made for cancellations but we will supply you with the presentations if you are unable to send a substitute delegate. A VAT receipt will be sent on request. Joining instructions will be sent by email, so please make sure we have your email address. The Compliance Register reserves the right to make changes to the programme, speakers or date of the course should the need arise.

**THE 2019 FINANCIAL CRIME COMPLIANCE (FCC) PROFESSIONALS
CERTIFICATION PROGRAMME**

PROGRAMME

<p>08.30 Registration & Coffee</p> <p>08.45 <i>Overview for the day</i> Ben Goh, Chairman, The Compliance Register</p> <p>MODULE 1: The Legislative and Regulatory Framework by Womble Bond Dickinson</p> <p>Session 1 08.50 <i>Introduction to Financial Crime laws: What is financial crime and who regulates its prevention?</i></p> <p>Session 2 09.05 <i>Prevention of money laundering and terrorist finances: criminal offences under primary legislation (POCA, Terrorism Act, CTA)</i></p> <p>Session 3 09.25 <i>Obligations on “obliged entities”: CDD and related policies and procedures.</i></p> <p>Session 4 09.55 <i>Regulatory Expectations: Industry Guidance and PRA/FCA Rules.</i></p> <p>10.25 Morning Coffee</p> <p>Session 5 10.45 <i>Financial Sanctions: The law and regulatory expectations</i></p> <p>Session 6 11.25 <i>Bribery & Corruption: The Bribery Act and regulatory expectations.</i></p> <p>Session 7 11.55 <i>Prosecutions and Enforcement Actions: Lessons to learn from financial notices, convictions and Deferred Prosecution Agreements.</i></p> <p>Session 8 12.30 <i>Market Abuse and Insider Dealing: The law and regulatory expectations.</i></p>	<p>13.00 Lunch</p> <p>MODULE 2: IDENTITY THEFT & CYBER SECURITY</p> <p>Session 9 –Acuris Risk Intelligence 13.45 <i>Protecting Yourself in a Digitally Promiscuous World – Scale of the issue both in the UK and globally; Fraud typologies used by criminals; and Strategies to protect yourself and your organisation by Nick Parfitt, Head of Market Planning, Acuris.</i></p> <p>MODULE 3: CORPORATE GOVERNANCE & RISK MANAGEMENT</p> <p>Session 10 - FSC 14.15 <i>The Importance of Effective Corporate Governance and Risk Management by Alan Brener, Senior Consultant, FSC. Alan has a wealth of experience having worked for regulators LAUTRO and PIA as well as senior compliance roles at RBS Group and Santander.</i></p> <p>14.45 Afternoon Tea</p> <p>MODULE 4: PRACTICAL FINANCIAL CRIME COMPLIANCE ISSUES</p> <p>Session 11 – KPMG 15.40 <i>Update on UK and Global Anti-Bribery and Corruption Issues by Nazifa Hussain, Manager, KPMG. She specialises in forensic, anti-bribery and corruption and anti-facilitation of tax evasion.</i></p> <p>Session 12 – Deutsche Bank 16.20 <i>Monitoring AML and Sanctions Compliance by Simon Wilkin, Director, Anti-Financial Crime, Deutsche Bank.</i></p> <p>Session 13 17.00 <i>Instructions for course work to be completed and submission deadline.</i></p> <p>17.15 Conclusion</p>
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Note: This event should qualify for 7 hours CPD for the various professional bodies, we suggest you keep a copy of the conference programme for CPD purposes.

DOWNLOAD REGISTRATION FORM IN WORD

You can download the event registration form in Word format, complete it and then emailed it to Events_Info@ComplianceR.com

For the Event Code, use FCCP.

To download the Event Registration Form, go to <https://compliance.com/events/>:-

Click on “events registration form”.

Alternatively, please use the form on the next page.

FCC Professionals Certification Programme

25th September 2019

REGISTRATION FORM

(Please photocopy this form as required.)

Mr, Mrs, Miss or Title	First Names	
Surname	Position	
Company		
Address		
Town		
Postcode	Telephone	Fax
Email address		
Please describe any special dietary requirements.		

IMPORTANT NOTES

1. Please make all cheques payable to The Compliance Register Limited and crossed "A/C Payee Only". We can also invoice you for payment either by cheque or by BACS transfer – please request this in your covering email.

2. Registration Forms should be sent by email to Events_Info@ComplianceR.com or fax to 01908 220213 initially followed by the original and cheque in the post to:-

Ben Goh, Chairman, The Compliance Register,
Enterprise House, P O Box 843, Greenleys, Milton Keynes, MK12 6YZ,
United Kingdom.

3. If you have any queries, please contact Ben Goh by telephone, direct line: (01908) 322450 or 07954 104534.

4. Updated versions of this brochure will be available at <https://ComplianceR.com>
[Information in this brochure is as known on 3 July 2019.](#)

5. IMPORTANT NOTICE: REFUNDS POLICY

Please note there will be no refunds for cancellations or non-attendance. You are welcome to send a substitute delegate. We will supply you with the course documentation should you be unable to send a substitute delegate.

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