

CLARIDEN GLOBAL FINANCE LEADERSHIP INSTITUTE

ANTI-MONEY LAUNDERING AND COMPLIANCE WEEK



PROGRAM A:

ANTI-MONEY LAUNDERING, FINANCIAL CRIME AND COUNTER-TERRORISM FINANCING

Sydney: 8 – 9 May 2017, InterContinental Sydney, Australia

Melbourne: 11-12 May 2017, InterContinental Melbourne The Rialto

PROGRAM B:

INTERNAL CONTROL, MONITORING AND RISK MANAGEMENT FOR COMPLIANCE PROFESSIONALS

Sydney: 11 – 12 May 2017, InterContinental Sydney, Australia

Melbourne: 8- 9 May 2017, InterContinental Melbourne The Rialto



Cultivating Best Compliance Practices in Organizations

CLARIDEN CREDENTIALS AND ENGAGEMENT

Clariden Global is the pre-eminent and influential global business leadership institution. Today, we host more than 200 global executive education and major conference events around the world. We have partnered with professional organizations such as the Association of Chartered Certified Accounts (ACCA) and thought leaders from prestigious universities such as Harvard University John F. Kennedy School of Government, Wharton School of the University of Pennsylvania and Stanford University.

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THE CLARIDEN EXPERIENCE

ENJOY LEARNING WITH THE
FIRST-CLASS, WELL-ROUNDED EXPERIENCE

To maximize both your enjoyment and professional development, Clariden Global holds its executive programs at five star hotels, some of which include:



Shangri-La Hotel, Singapore
Singapore

Amidst lush gardens, this 3-wing luxury hotel is 6 km from the iconic Marina Bay Sands resort and 9 km from Sentosa.



InterContinental Melbourne The Rialto
Melbourne, Australia

Set in a grand 1891 building, this upscale chain hotel is 3 blocks from the Yarra River, and an 8-minute walk from the SEA LIFE Melbourne Aquarium.



Conrad London St James
London, United Kingdom

Across the street from St. James's Park tube station, this sophisticated hotel is 10 minutes' walk from Buckingham Palace and 2 miles from the Victoria and Albert Museum.



Grand Hyatt: Union Square San Francisco Hotel
San Francisco, United States

Less than a block from Union Square, this stylish high-rise hotel is an 11-minute walk from the Moscone Center and 1.9 miles from Pier 39.

Terms & Conditions: Clariden Global International Limited reserves the right to change the venue of the program due to reasons beyond their control.

Contact Gwen Clarke, Program Director at +61 3 9909 7310 | gwen@claridenglobal.org





5,000+
Companies



10,000+
Participants




15+
Countries



50+
Industries

WHY CLARIDEN GLOBAL EXECUTIVE EDUCATION?

GLOBAL ENGAGEMENT

Clariden Global is the pre-eminent and influential global business leadership institution. Today, we host more than 200 Global Executive Education and major conference events across 15 countries and 17 cities, including Singapore, London, Hong Kong, Sydney, Melbourne, Perth, New Zealand, San Francisco, Toronto, Johannesburg, Shanghai, Beijing, Kuala Lumpur, Dubai, Toronto, The Netherlands, New York and Zurich.

INTERNATIONALLY DIVERSE, SENIOR-LEVEL PARTICIPANTS

Clariden Global Executive Education programs have attracted participants from more than 5,000 global MNCs, regional corporations, and FORTUNE 500 companies, from more than 40 countries. All applications are reviewed based on professional achievement and organizational responsibility. Designed for individuals at all levels, from top executives to emerging leaders, each intensive program is crafted to equip leaders with essential capabilities to improve corporate performance and position their organizations to thrive.

THOUGHT LEADERSHIP

To provide strategic insights and relevant world-class executive education to global organizations, Clariden Global engages the best thought leaders and leading authorities from around the world. These include professors and faculty leaders from Harvard University, Stanford University, University of Pennsylvania Wharton, London Business School and other premium institutions to deliver transformational knowledge.



PROGRAM A

ANTI-MONEY LAUNDERING, FINANCIAL CRIME AND COUNTER-TERRORISM FINANCING

PROGRAM INFORMATION



DATES

8 – 9 May 2017 (Sydney)
11 – 12 May 2017 (Melbourne)



PROGRAM ADVISOR

Gwen Clarke

Email: gwen@claridenglobal.org
Phone: +61 3 9909 7310



LOCATION

InterContinental Sydney, Australia
InterContinental Melbourne The Rialto



TUITION FEES

Early Bird 1 (register and pay by 13 March 2017): AU\$2,595
Early Bird 2 (register and pay by 10 April 2017): AU\$2,795
Regular: AU\$2,895

Group discount of 10% for 2nd participant from the same organization. For limited time only by 10 April 2017, register 3 participants and the 4th participant will receive a complimentary seat (One discount scheme applies).

FACULTY DIRECTOR



Neil Jeans

*Financial Crime Compliance & Risk Consultant
Initialism Pty Ltd*

- Leading Authority in financial crime investigations with more than 20 years of professional experience in domestic and international fraud and money laundering investigations
- Previously held various senior AML, Sanctions and Anti-Bribery compliance and management roles across 5 continents in renowned firms such as ABN AMRO, UBS, National Australian Bank and PwC
- Actively involved in global compliance associations as a member of the Faculty for the Australian Compliance Institute (ACI) AML Diploma, founding member of the SWIFT Sanction Advisory Group, founding Chair of the Association of Certified Anti-Money Laundering Specialists (ACAMS) Australasian Chapter and member of the UK Joint Money Laundering Steering Group (JMLSG) Board

PROGRAM ESSENCE

This comprehensive 2-day program is designed for compliance leaders to **design a high quality and agile compliance framework** that is able to withstand the ever challenging and stringent regulations and requirements from regulators. You will pick up the skills to engage with law enforcers and other investigation agencies through **understanding the drivers and expectations of the latest regulations and standard developments in financial crimes**. This session will help to **create a holistic compliance framework and culture to ensure appropriate governance and cohesive compliance culture**. You will also learn how to **implement effective Customer Due Diligence (CDD) process in AML to maintain great client relationships**.



PROGRAM A

ANTI-MONEY LAUNDERING, FINANCIAL CRIME AND COUNTER-TERRORISM FINANCING

KEY BENEFITS

- **Learn** the roles and latest development of AUSTRAC, FATF policies to avoid non-compliance penalties
- **Learn** the current key predicated offense to prevent negative consequences from financial crimes
- **Develop** risk based approach to AML to reduce the non-compliance risks that hamper the organization's reputation
- **Understand** the client's life cycle to ensure a more effective CDD and monitoring process which leads to greater client relationship
- **Insights** for audit approaches and regulatory visit to achieve optimal outcome for organization
- **Implement** the most appropriate compliance framework to create a holistic and participative compliance culture

WHO WILL ATTEND THIS PROGRAM

This program is designed for but not limited to mid Senior Level Compliance and Risk Management Officers, Supervisors, Risk and Compliance Managers, Directors, Chief Risk Officers and Financial Controllers who wants to strengthen and reinforce the importance of cultivating a compliance culture, lucid compliance monitoring and reporting process, and comprehensible compliance programs that is agile and ready for the ever integrated compliance environment today.



PROGRAM A

ANTI-MONEY LAUNDERING, FINANCIAL CRIME AND COUNTER-TERRORISM FINANCING

FACULTY DIRECTOR



Neil Jeans

*Financial Crime Compliance & Risk Consultant
Initialism Pty Ltd*

Neil has a unique background in **financial crime risk management, spanning 25 years**. This includes working within **Law Enforcement agencies investigating financial crime, including domestic and international fraud and money laundering, and as a Financial Services Regulator, developing AML regulation and supervision techniques**. Working at senior levels managing AML/CTF, Sanctions and Anti-Bribery compliance across Europe, the US, Latin America, Asia and Australia within three major European financial services companies and one of the major Australian banks. Neil has extensive experience in **designing and implementing policy and controls to address AML/CTF and TFS compliance** and since August 2012 has working as an independent consultant advising financial institutions in Australia and globally on AML/CTF, Sanctions and Anti-Bribery matters.

In addition, Neil is member of the faculty and lectures as part of the International Compliance Association (ICA) Diploma of Applied Anti Money Laundering and Counter Terrorism Management, is a founding member of the SWIFT Sanction Advisory Group, and has regularly attended the Private Sector Expert forum of the Financial Action Task Force (FATF). He was founding Joint-Chair of the Association of Certified Anti-Money Laundering Specialists (ACAMS) Australasian Chapter, and has been a member of the UK Joint Money Laundering Steering Group (JMLSG) Board.

Since August 2011 Neil has been working as a consultant advising organisations in Australia and globally on AML/CTF, and TFS matters, including a major global provider of financial crime risk management solutions, developing innovative solutions to address global challenges in customer due diligence.



PROGRAM OVERVIEW

ANTI-MONEY LAUNDERING, FINANCIAL CRIME AND COUNTER-TERRORISM FINANCING

OVERVIEW



Businesses around the world is facing a new phenomenon in compliance with the heightened scrutinization, stringent regulations and increase in non-compliance costs from the regulators. The recent Panama Paper leak has also impacted organizations' compliance efforts globally as greater stewardships in determining beneficial ownerships, know your customer's standards and due diligence is required. Thus, it is more critical now for organizations to take initiatives to reassess their current compliance program to mitigate their non-compliance risks and vulnerabilities.



With your needs always on top of our mind, Clariden Global's latest program on **Anti-Money Laundering, Financial Crime and Counter-Terrorism Financing**, led by internationally acclaimed financial crime prevention trainer, **Mr Neil Jeans**, will take you through the practical insights of how to **manage an AML and CTF program in ensuring appropriate, accurate and timely assurance over financial crime preventions within an organization.**



The program is designed with different interactive group learning activities from building the blocks of the **drivers and impacts of the current AML and CTF global environment, methodologies to manage AML and CTF risks exposure to the detailed understanding and practical insights in Customer Due Diligence (CDD), monitoring and reporting landscapes to prepare for audit and regulatory visits.** Last but not least, you can expect to learn **how to create a holistic compliance framework** by setting the tone from the top to **cultivate your organization's compliance culture.**

By the end of this program, you will walk away with **comprehensive understanding on the financial crime landscapes and best practices to develop and implement compliance programs** that enables greater efficiency and effectiveness in financial crime prevention.

CPD CERTIFICATION DETAILS


This course has been independently certified as conforming to accepted CPD guidelines. On average, this executive program contributes 16 hours towards your CPD. Delegates must register at the start and close of each workshop to be awarded a certificate of completion.





PROGRAM OUTLINE

ANTI-MONEY LAUNDERING, FINANCIAL CRIME AND COUNTER-TERRORISM FINANCING

 08:30 - 18:00 / 8 & 11 May 2017

DAY 1

Drivers and catalysts for developing AML/CTF over the last 25 years:

- Evolution of FATF Recommendation
- Enforcement Activity

Overview of the AML/CTF regime

- Risk Based Approach
- Customer Due Diligence Regime:
 - CDD
 - Screening
 - Enhanced CDD
 - Monitoring Regime
 - Reporting Regime
- Management accountability and responsibilities

Current drivers that are impact AML regimes globally

- FATF Mutual Evaluations

Recent results and reports, and evaluation plans and schedules

- Panama Papers
- G20 Bribery initiatives
- G20/FATF Tax and Beneficial Ownership Transparency

This session will provide context and background to the rest of the workshop and will cover both global issuers and perspectives as well as local content and information per country.

Predicate Offenses Overview

- Money Laundering
 - What is money laundering
 - Beyond placement, layering and integration; money laundering how the professionals do it
 - Real life case studies
- Terrorist Financing and Sanctions
 - ◦ What is Terrorist Financing
 - ◦ What is the difference between Money Laundering and Terrorist Financing
- Tax evasion
 - What is tax evasion
 - Overview of methods used
- Bribery and Corruption
 - What is bribery and corruption
 - What are the risks of bribery and corruption
 - Internal risks – business and suppliers
 - External risk – customers and products
- Other predicate crimes
 - Drug Trafficking / Fraud / Human Slavery

This session will provide context and background to the crimes of money laundering and terrorist financing and the key current predicate offences.

Contact Gwen Clarke, Program Director at +61 3 9909 7310 | gwen@claridenglobal.org



PROGRAM OUTLINE

ANTI-MONEY LAUNDERING, FINANCIAL CRIME AND COUNTER-TERRORISM FINANCING

- AML/CTF regime
 - o Legal and Regulatory basis
 - o The current regulatory regime in Australia:
 - Current Requirements
 - Current Expectations
 - Current initiatives and changes planned
 - o Law Enforcement expectations
 - o Partnership approach - including the regulated sectors in the fight against financial crime

This session will provide knowledge about the AML/CTF regime the delegates operating in the country, discussing the regulatory drivers and expectations, supervision and enforcement perspectives and how to engage with law enforcement and other investigative agencies.

The Risk Based Approach to AML/CTF

- Overview of the rationale for the Risk Based Approach
- Limitations and opportunities within a Risk Based Approach
- Overview of key ML/TF risks
 - o Environmental
 - o Customer
 - o Business
 - o Product
 - o Channel
 - o Country/Jurisdiction
- Methods and approaches to identify, quantify, and manage each key risk

This session will provide understanding of a key concept in AML/CTF compliance, which drives the entire AML/CTF regime in the country and impacts the compliance arrangement that should be in place.



PROGRAM OUTLINE

ANTI-MONEY LAUNDERING, FINANCIAL CRIME AND COUNTER-TERRORISM FINANCING

 08:30 - 18:00 / 9 & 12 May 2017

DAY 2

Customer Due Diligence - Part 1

- On-boarding
 - What do I need to know about my customer
 - Individuals vs Legal Persons
 - Identification and verification
 - Legal Persons - Beneficial ownership and control
 - Name screening
 - Customer risk rating methodology
- On-going
 - The client life cycle
 - Monitoring transactions and client behaviour
 - Implementing the right information systems
 - Reporting to management and regulators
- Practical issues with CDD
 - Risk based CDD
 - Electronic verification
 - Name screening and language issues
 - New trends in on boarding

This session will provide a detailed understand of the CDD landscape and requirements in the delegates' country and will allow them to understand their obligations, put in place proportionate controls, and can assess and demonstrate compliance with CDD requirements.

Monitoring & Reporting

- Monitoring
 - Transaction Monitoring
 - Manual vs Automated
 - Red Flags
 - Managing Alerts
 - Managing Automated systems
- Reporting
 - Compliance/Regulatory Reporting
 - Threshold Cash Transaction Reporting
 - Suspicious Matter Reporting
 - International Transaction Reporting

This session will provide a detailed understand of the monitoring and reporting obligations and the issues they create for an organization.

- Preparing for an audit or regulatory visits
 - What to prepare
 - How to engage with the examiner
 - How to deal with findings

This session will provide insight into the approaches and methodologies for preparing for an audit or regulatory review of an AML/CTF program and provide knowledge on how to manage the process and achieve optimal outcomes from such a review.



PROGRAM OUTLINE

ANTI-MONEY LAUNDERING, FINANCIAL CRIME AND COUNTER-TERRORISM FINANCING

Creating a holistic compliance framework

- Tone from the top
- Designing a compliance stance that makes sense
- How to implement a “compliance culture”
- Governance & Assurance
 - o Board Reporting
 - o Business Management Reporting
 - o Roles and Responsibilities
 - o Front Line Testing
 - o 2nd Line Oversight
 - o Audit Assurance

This session will provide delegates with practical insight into managing an AML/CTF program within an organisation and ensuring appropriate governance and accurate and timely assurance over an AML/CTF program.



YOU MAY BE INTERESTED IN PROGRAM B

INTERNAL CONTROL, MONITORING AND RISK MANAGEMENT FOR COMPLIANCE PROFESSIONALS

PROGRAM INFORMATION



DATES

8 – 9 May 2017 (Melbourne)
11 – 12 May 2017 (Sydney)



PROGRAM ADVISOR

Gwen Clarke

Email: gwen@claridenglobal.org
Phone: +61 3 9909 7310



LOCATION

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InterContinental Sydney, Australia



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FACULTY DIRECTOR



George Pelekanakis

President

Mefford Assoc Managing Director

Pelekanakis Professional Services

C.I.A, C.I.S.A, C.F.E, C.R.P, C.C.S.A

- Vice-President Hellenic Institute of Internal Auditors
- P. President of the Hellenic Association of Certified Fraud Examiners
- Part-time lecturer for the American College of Greece
- Head-lecturer for the CIA and CISA course for Study Smart SA
- Reviewer of internal audit – audit textbooks for Willey publications

PROGRAM ESSENCE

This comprehensive executive program is designed to help compliance professionals effectively **identify the major risks threatening the organization, how to deal with the risks to attain corporate goals** and leverage on these inputs to **develop a practical risk based internal control process**. This session offers an interactive framework to help you **identify, assess, evaluate, mitigate and monitor risks**; which are crucial fundamentals for an organization. Learn how reduce organization's compliance exposure with the latest framework and compliance guidance for your organization. At the end of the 2-day program, you will be able to **effectively implement an effective compliance program** through appropriate planning and have a **greater understanding of internal controls assessment, objectives and strategies** that can assist you tremendously in **decision making**.



PROGRAM B

INTERNAL CONTROL, MONITORING AND RISK MANAGEMENT FOR COMPLIANCE PROFESSIONALS

KEY BENEFITS

- **Align** your compliance framework to achieve organizational objectives
- **Learn** the COSO Internal Control Framework and OCEG GRC Capability Model to design and implement sound internal control processes
- **Change and prioritize** internal control processes to a risk-based approach in handling exposures and applying internal controls to evaluate KPI
- **Develop and implement** a risk-based approach and use internal controls to ensure your compliance program is effective and efficient
- **Manage** the risk exposures within the decision-making criteria set by board of directors and regulators to achieve corporate buy-in
- **Improve** risk assessment and avoid weak internal controls that does not address the organization's objectives
- **Identify** and select the optimal internal control processes to identify the risks to your organization and effectively mitigate it

WHO WILL ATTEND THIS PROGRAM

This program is designed for but not limited to Directors, GMs, VPs, Chief Financial Officer (CFO), Chief Internal Auditor (CIA), Chief Audit Executive (CAE), Chief Risk Officer (CRO), Senior Managers, Managers, Auditors, Accountants and Consultants who want to identify and manage the risks that threatening the attainment of their organisation's objectives through risk management and analysis, audit control, fraud prevention, and legal corporate governance.



PROGRAM B

INTERNAL CONTROL, MONITORING AND RISK MANAGEMENT FOR COMPLIANCE PROFESSIONALS

FACULTY DIRECTOR



George Pelekanakis

President

Mefford Assoc Managing Director

Pelekanakis Professional Services

C.I.A, C.I.S.A, C.F.E, C.R.P, C.C.S.A

George Pelekanakis has **more than 21 years of experience in the internal audit industry**. Before setting up his own firm, Pelekanakis Professional Services, PPS in 2003, he spent more than 8 years of professional experience in Big Four auditing firms. While working for the Big Four auditing firm, George helped various organizations set-up their internal audit divisions or enhance their performance by offering consultations on key issues that was faced by internal audit departments. He is scientific advisor for the Ministry of Finance and currently acts in the capacity of CAE for a Hospitals Management Company (AEMY SA).

As a Managing Director of PPS, George has the opportunity to work closely with a diverse range of organizations from both the public and the private sector that are located in Europe, the Middle East and SE Asia. He is highly sought after to upgrade the internal audit practice by introducing new techniques and approaches (e.g. CCSA and CAATs or optimizing sampling efforts), to set up internal audit practices and evaluate their performance (Quality Assurance Reviews). During the last few years, George has been putting emphasis on helping organizations develop performance management frameworks and delineating their process delivery.

At the same time, he is serving as a member of Audit Committees in listed and private organizations and he is coaching Audit Committee members to be more effective in discharging their responsibilities. In the business training area he has provided training to more than 2600 internal auditors and business professionals. He is also a part-time lecturer in the fields of Auditing and Internal Auditing with the American College of Greece. Since he was the first Greek to be granted the CIA designation, he soon became the lead lecturer for organizations offering CIA preparation courses (Study Smart). Since December 2008, fraud investigators that value his experience and contribution to the profession elected him as the first Chairman of the Board of Directors of Hellenic Association of Certified Fraud Examiners. He has also served as the Vice-President of the Hellenic Institute of Internal Auditors (April 2012-April 2015). He is a frequent speaker in conferences and business events and he spends time in coaching internal audit professionals and helps them progress their careers.

George concluded his academic studies in Business Administration and continued with post-graduate studies in International Accounting and Auditing with scholarship from the European Union. Soon enough he realized the value of professional qualifications and became **certified in Internal Auditing (C.I.A), in auditing Information Systems (C.I.S.A), in Fraud Examination (C.F.E), in Risk Management (C.R.P), and in Controls Self-Assessment (C.C.S.A)**.



PROGRAM B

INTERNAL CONTROL, MONITORING AND RISK MANAGEMENT FOR COMPLIANCE PROFESSIONALS

FACULTY DIRECTOR

Organizations that have benefited from Jason's expertise include:

- Swatch Group
- IKEA
- Toyota
- Olympic Airlines
- Cyprus Airways
- PWC
- KPMG
- Ernst & Young
- Grant Thornton
- ADNOC Group (UAE)
- Dubai Islamic Bank
- Nacional Commercial Bank (KSA)
- Petroleum Development of Oman
- Hayatt Regency Casino S.A.
- Citigroup (Greek practice)
- Air Niugini Limited
- Baoviet Holdings
- Bayer Thai Co. Ltd
- Bhutan Telecom
- Brunei Shell Petroleum Co. Ltd
- ECS Holdings Ltd
- Grameenphone Ltd
- Lafarge Malayan Cement BHD
- Lam Soon Edible Oils S/B
- OCBC LTD
- PT Bio Farma (Persero)
- PUB
- Sri Lanka Telecom
- Bank of Thailand
- Bank Rakyat Indonesia
- Brunei LNG Sdn Bhd
- Civil Aviation Authority of Sri Lanka
- GIATMARA Sendirian Berhad
- JSC Bank for Foreign Trade of Vietnam (Vietcombank)
- MISR ELKHEIR FOUNDATION
- MMC Corporation Berhad
- PT Bank UOB Buana
- PT. Bank Negara Indonesia (Persero) Tbk
- UNITED LABORATORIES INC
- Hellenic Ministry of Finance
- Tsakos Shipping Corporation (NYSE listed)
- Bank of Cyprus
- Central Bank of Greece
- Alpha Bank
- EFG Eurobank
- Piraeus Bank
- TT Bank
- Tekfen Bank
- Geniki Bank
- Marfin Investment Group
- Hellenic Postbank
- Hellenic Bank
- Romanian Banking Institute
- Agricultural Bank of Greece
- Bank of Limassol
- Millenium Bank
- Emporiki Leasing S. A.
- AGB Nielsen
- Public Power Corporation S.A.
- Cyprus Telecommunications Authority
- Romanian Telecommunications Authority (Romtelecom)
- Pafilia Property Developers
- Romanian Petroleum S.A.
- Indonesia Deposit Insurance Corporation
- People's Bank
- Vietnam Technological and Commercial Joint Stock Bank (Techcombank)



PROGRAM OVERVIEW

INTERNAL CONTROL, MONITORING AND RISK MANAGEMENT FOR COMPLIANCE PROFESSIONALS

OVERVIEW



Internal controls play an integral role in an organization's success. Hence, management need to prioritize their compliance practice by using a **risk-based approach** in handling exposures and applying internal controls. By ascertaining the **appropriate use of internal controls**, it helps to **reduce compliance exposures** and ensure your organization is managing the exposures within the decision-making criteria determined by the board of directors and regulators. You will also learn how to **design and implement** internal controls with **COSO Internal Control Framework, OCEG GRC Capability Model** and how to apply **international compliance program guidance** from the **Federal Sentencing Guidelines for Organizations (FSGO)** and **ISO 19600:2014**.



The Internal Control, Monitoring and Risk Management for Compliance Professionals program led by internationally acclaimed audit trainer, Mr Jason Mefford, will bring you a complete guide on how to take a risk-based approach and use internal controls to ensure your compliance framework is effective and efficient. The program is designed with different interactive group learning activities to guide you through from the building blocks on basics of risk management, how to identify, assess, evaluate, mitigate and monitor risks, to risk management principles in performing risk based audits.



Through lectures and practical group interactions, discussions, and exercises, you will develop the skills necessary to effectively assess and implement an ideal Internal Control process in your organization.

CPD CERTIFICATION DETAILS

This course has been independently certified as conforming to accepted CPD guidelines. On average, this executive program contributes 16 hours towards your CPD. Delegates must register at the start and close of each workshop to be awarded a certificate of completion.





PROGRAM OUTLINE

INTERNAL CONTROL, MONITORING AND RISK MANAGEMENT FOR COMPLIANCE PROFESSIONALS

 08:30 - 18:00 / 8 & 11 May 2017

DAY 1

Session 1: The Need of Compliance and How it Helps Organizations Achieve Objectives

- The “Big Picture” of business in achieving compliance objectives
- Mandatory and voluntary compliance items
- Understanding the relationship between performance, risk and compliance
- Forces, events and impacts on meeting objectives : the ORCA principle

Session 2: Examining and Reacting to Risks and Exposures

- Understanding the basics of risk management
- Identifying opportunities, threats and requirements
- Assessing reward, risk and compliance
- Measuring risk
- Appetite, tolerance & capacity
- Responding to risks: (Terminate, Tolerate, Treat, or Transfer)

Session 3: Internal Controls

- The basics of internal controls
- Using internal controls to reduce likelihood or impact of events
- Proactive, Detective and Responsive Internal Controls


Session 4: The COSO Internal Control Framework - 2013

- The COSO Internal Control Framework – 2013
- 5 elements of internal controls
- 17 principles of internal controls



PROGRAM OUTLINE

INTERNAL CONTROL, MONITORING AND RISK MANAGEMENT FOR COMPLIANCE PROFESSIONALS

 08:30 - 18:00 / 9 & 12 May 2017

DAY 2

Session 5: Practical guide in Implementing Internal Controls

- Types of internal controls
- Determining the best type of internal control to reduce exposure
- A risk-based approach to internal controls

Session 6: Risk Standards and Relationship with Other Functions

- Risk standards: (ISO 31000, COSO ERM, OCEG GRC Capability Framework)
- Relationship between risk management and compliance
- Relationship between internal audit and compliance

Session 7: The Minimum Requirements for an Effective Compliance Program

- International requirements for compliance programs
- The Federal Sentencing Guidelines for Organizations (FSGO)
- ISO 19600:2014
- The elements of an effective compliance program

Session 8: Performing a Compliance Assessment

- Determining the highest compliance exposures to your organization
- Determining inherent and residual exposure levels
- Creating a response plan to exposures



PARTICIPATING COMPANIES

More than 5,000 companies have participated in our programs

ADVERTISING, INTERNET, MEDIA, PUBLISHING

BBC Worldwide
CNN
eBay
LinkedIn
MediaCorp
Saatchi & Saatchi
Singapore Press Holdings
The Financial Times
The Hoffman Agency
The Walt Disney Company
Thomson Reuters

CONGLOMERATE

Fraser & Neave
General Electric
General Motors
Mitsubishi
Monsanto
Siemens AG
Sodexo

FINANCIAL SERVICES, INSURANCE

Bank of America Merrill Lynch
AIA
Allianz Global Investors
American Express
Aviva
AXA
Barclays Bank
Citibank
DBS Bank
Deutsche Bank
HSBC
JP Morgan Chase Bank
Manulife
MasterCard
Maybank
Mizuho Bank
OCBC Bank
PayPal
Prudential
Rabobank
Standard Chartered Bank
Suncorp
Swiss Reinsurance
TD Securities
Visa
Westpac
Zurich Insurance

FOOD, BEVERAGE

Coca-Cola Beverages
Danone
Ferrero
Heineken
McDonald
PepsiCo

GOVERNMENT, NONPROFIT

Australian Securities and Investments
Commission
Central Provident Fund Board
Changi Airport Group
Economic Development Board
GIC
NSW Treasury
Serco
Temasek Group

HEALTHCARE, PHARMACEUTICALS

Abbott Laboratories
Eu Yan Sang
Glaxosmithkline
Hoffmann-La Roche
Johnson & Johnson
Merck
Pfizer
Sanofi

HOSPITALITY

CapitaLand
Far East Organization
Fraser Hospitality
Hilton Worldwide
Marriott Hotels
Pan Pacific Hotels Group
Shangri-La Hotels & Resorts

MANUFACTURING (CONSUMER)

British American Tobacco
Estee Lauder
Fonterra Brands
Heineken
Kimberly-Clark
Kraft Foods
Lego
Mars Foods
Nestlé
Procter & Gamble
Unilever

MANUFACTURING (INDUSTRIAL)

Airbus
Corning Optical Communications
Daimler
Harley Davidson
Intel Semiconductor
Rolls-Royce
Volvo Group
Wearnes Automotive

OIL & GAS, NATURAL RESOURCES

Caltex
Chevron
ConocoPhillips
ExxonMobil
Maersk

Petronas
Santos
Saudi Arabian Oil
Schlumberger
Shell

PROFESSIONAL SERVICES

AECOM
Aon Hewitt
Ernst & Young
PricewaterhouseCoopers

RETAIL, TRADE

Adidas
Cargill
DFS
Harvey Norman
Hennes & Mauritz
IKEA
L'Oreal
Marks and Spencer
NTUC Fairprice
Tesco

TECHNOLOGY, ELECTRONICS

3M
Apple
Canon
Dell
Hewlett Packard
Intel Technology
Lenovo
Micron Technology
Microsoft
Oracle
SAP
Sony Electronics
TE Connectivity

TELECOMMUNICATIONS

Ericsson
Nokia
Olive Communications
Singtel
Starhub
Tata Communications
Telstra
Verizon
Vodafone

TRANSPORTATION

Auckland Transport
Cathay Pacific Airways
Dubai Air Navigation Services
New Zealand Transport Agency
Fiji Airways
Metro Trains Melbourne
NSW Trains
SBS Transit

TESTIMONIALS



“ Good balance
of content. ”

*Manager
Pacific National*

“
Excellent,
engaging and
well-paced
presentations.”

*Manager
Calibre Group*





IN-HOUSE CUSTOM EXECUTIVE PROGRAMS

Clariden Global delivers custom learning programs for organizations all around the world. Whatever your business challenges are, we create focused learning experience that enables your organization to achieve success. Through partnerships with the most renowned thought leaders, industry experts and professors from around the world, these in-house custom executive programs will equip you with essential skills and capabilities to develop and implement strategies more effectively at your organization.

Engage with our thought leader today:



Neil Jeans

*Financial Crime Compliance & Risk Consultant
Initialism Pty Ltd*

Neil has a unique background in **financial crime risk management, spanning 25 years**. This includes working within **Law Enforcement agencies investigating financial crime, including domestic and international fraud and money laundering, and as a Financial Services Regulator, developing AML regulation and supervision techniques**. Working at senior levels managing AML/CTF, Sanctions and Anti-Bribery compliance across Europe, the US, Latin America, Asia and Australia within three major European financial services companies and one of the major Australian banks. Neil has extensive experience in **designing and implementing policy and controls to address AML/CTF and TFS compliance** and since August 2012 has working as an independent consultant advising financial institutions in Australia and globally on AML/CTF, Sanctions and Anti-Bribery matters.

CONTACT US



PROGRAM ADVISOR

Gwen Clarke

Email: gwen@claridenglobal.org

Phone: +61 3 9909 7310



CONTACT US

We encourage you to learn more about Clariden Global Executive Education custom and open-enrollment programs. Our staff will be happy to answer your questions and help you determine the programs work best for you and your organization.

ENQUIRY FOR THIS PROGRAM

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REGISTRATION

PROGRAM FEES

| Program | 1st Early Bird Fee (If payment & registrations are received by 13 Mar 2017) | 2nd Early Bird Fee (If payment & registrations are received by 10 Apr 2017) | Regular Fee Per Participant |
|--|--|--|-----------------------------|
| Program A (8 - 9 May, Sydney 11 - 12 May, Melbourne): Anti-Money Laundering, Financial Crime and Counter-Terrorism Financing | AU\$2,595 | AU\$2,795 | AU\$2,895 |
| Program B (8 - 9 May, Melbourne 11 - 12 May, Sydney): Internal Control, Monitoring and Risk Management for Compliance Professionals | AU\$2,595 | AU\$2,795 | AU\$2,895 |

4 WAYS TO REGISTER

-  Email: admissions@claridenglobal.com
-  Fax: +61 3 9909 7788
-  Call: +61 3 9909 7310
-  Website: www.claridenglobal.com

GROUP DISCOUNTS

Group discount of 10% for the 2nd participant from the same organization. For limited time only by 10 April 2017 register 3 participants and the 4th participant will receive a complimentary seat.

***One discount scheme applies.**

| |
|--|
| Booking Contact (Approving Manager) Mr/Mrs/Ms: _____ Job Title: _____ Department: _____ Telephone: _____ Fax: _____ Email: _____ Organization: _____ Address: _____ _____ Postal Code: _____ <input type="checkbox"/> I would like to receive more information on hotel accommodation using Clariden Global corporate rate. |
|--|

Please register the following participant for this seminar.
(Please tick to select your seminar(s). You may tick more than one.)

1st Participant Name (Mr/Mrs/Ms): _____
 Job Title: _____ Department: _____
 Telephone: _____ Fax: _____
 Email: _____ Date of Birth: _____
 Seminar(s): Program A: Sydney | Program B: Sydney
 Melbourne | Melbourne

1st Participant Name (Mr/Mrs/Ms): _____
 Job Title: _____ Department: _____
 Telephone: _____ Fax: _____
 Email: _____ Date of Birth: _____
 Seminar(s): Program A: Sydney | Program B: Sydney
 Melbourne | Melbourne




1st Participant Name (Mr/Mrs/Ms): _____
 Job Title: _____ Department: _____
 Telephone: _____ Fax: _____
 Email: _____ Date of Birth: _____
 Seminar(s): Program A: Sydney | Program B: Sydney
 Melbourne | Melbourne

1st Participant Name (Mr/Mrs/Ms): _____
 Job Title: _____ Department: _____
 Telephone: _____ Fax: _____
 Email: _____ Date of Birth: _____
 Seminar(s): Program A: Sydney | Program B: Sydney
 Melbourne | Melbourne

FOR OFFICIAL USE

| | |
|--------------|-------------------------|
| FEE RECEIVED | L7138.39/L7140.41/YL/AY |
|--------------|-------------------------|

3 PAYMENT METHODS

-  By Cheque/ Bank Draft
-  By Telegraphic Transfer
-  By Credit Card

An invoice and registration confirmation will be sent within 7 days, please contact us if you have not heard from us within 7 days. Payment details will be sent together with the invoice based on your preferred payment method.

ALL PAYMENTS MUST BE RECEIVED IN ADVANCE OF THE EVENT.

VENUE AND ACCOMMODATION INFORMATION

| | |
|--|---|
|  InterContinental Sydney, Australia  8 - 9 May 2017 11 - 12 May 2017  117 Macquarie St, Sydney NSW 2000, Australia  +61 2 9253 9000  http://www.ihg.com/intercontinental/hotels/gb/en/sydney/sydh/hoteldetail | Intercontinental Melbourne The Rialto 8 - 9 May 2017 11 - 12 May 2017 495 Collins Street Melbourne, 3000 Australia +61 3 8627 1400 http://www.melbourne.intercontinental.com |
|--|---|

Accommodation is not included in the program fee but you will be entitled to use our corporate rate for your accommodation. Information will be sent along with your registration confirmation.

CANCELLATIONS AND SUBSTITUTIONS

***All cancellations must be received in written form.**

Once we have received your booking, the place(s) are confirmed. No refunds will be made for any cancellations, however, program credits of equivalent value only applicable for Clariden Global events will be provided. Credits can only be redeemed for 1 program and is valid for only one (1) year from date of issue.

Substitution with a qualified candidate is allowed by providing at least 5 working days of advance notice to Clariden Global. One time substitution is allowed with no charges. Subsequent substitutions will be charged 10% admin fee.

PLEASE NOTE: Clariden Global International Limited reserves the right to change the content and timing of the programme, the speakers and the date and venue due to reasons beyond their control. If in the unlikely event that the course is cancelled, Clariden Global International Limited will refund the full amount and disclaim any further liability.

PRIVATE DISCLOSURE STATEMENT: Any information provided by you in relation to this event is being collected by Clariden Global International Limited and will be held in the strictest confidence. It will be added to our database for the primary purpose of providing you with information about future events and services.