

# **BPP Professional Education** **Essential Business Skills**

## **REGULATORY AWARENESS**

*One programme, two solutions*

- 1. CPD Updates or**
- 2. BPP Jersey Certificate in Regulatory Awareness**

***Developing Professionals***



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**Programme Design and Courses Written  
and Presented By:**



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**BPP Professional Education**  
19 Hilary Street,  
St Helier, JE2 4SX  
Tel: 01534 711800  
[www.bpp.com](http://www.bpp.com)

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1 Bond Street  
St Helier JE2 3NP  
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## 2. Introduction



BPP Professional Education is part of the Apollo Group – a world leader in the provision of both professional examination and skills training to the financial and corporate sectors, specialising in open and tailored programmes.

BPP Professional Education is uniquely placed to provide business development support to Jersey businesses. We have over fifteen years experience providing training, business development and consultancy services to Jersey organisations. We also have wider experiences and capabilities as a result of our international activities and the experience of our consultants and trainers. Whilst we have the breadth of capability that comes from an international client base, we have never lost our Jersey centric commitment. The transfer of experience and knowledge into our Jersey operation has always been one of our primary purposes. It is in fact one of the essential underpinning components of our mission statement.

***“The mission of BPP Professional Education is to help people and businesses build their skills. We train for recognised professional qualifications and offer related development training to management and staff at all levels”***



COMSURE's Training services (public and in house) is designed for people working in both the financial services sector and non-financial organisations.

Comsure provides in-depth training on financial and associated concepts and provides tools that can be used in the workplace every day. Technical concepts are clearly articulated and practical examples help learners grasp the subject.

Our training courses are designed for both financial and non-financial staff of all levels to help them perform more effectively in their jobs.

Excellence in Financial Services Training -

With an increased number of training providers in the market place, we understand that choosing the right one for your specific needs can be difficult and daunting. What sets us apart from the rest is that rather than utilise a small number of in-house trainers we utilise specialist from different fields of expertise.

***Our Commitment to You - COMSURE's Financial Services Training, we stand for uncompromising professionalism, quality and innovation. Our aim is to empower our delegates (and ultimately our clients) to succeed by developing their existing knowledge and skills base in their professional career.***

## 2. Introduction



### **One Programme, two Solutions.**

Whether you want to top up your CPD by attending individual sessions or gain certification, we can assist. BPP Professional Education in conjunction with Comsure Compliance Limited has developed the:

### ***Jersey Regulatory Awareness programme***

**Attend individual sessions**

**Or**

**Attend all 8 sessions, a 9th refresher session and complete a short exam to gain the:**

**BPP Jersey Certificate in Regulatory Awareness,**

demonstrating your understanding of the key elements and drivers behind the regulatory framework in Jersey.

#### **More information**

Want to know more speak to Lincoln Miles at BPP tel 01534 711837 or Mathew Beale at Comsure tel 01534 626841

## 3. Course List & Outlines

			DATE	Price	CPD Hours
1	<b>Understanding the Jersey regulatory environment – an overview</b>	<ul style="list-style-type: none"> <li>• Introduction to compliance and designing a compliance framework</li> <li>• Know your way round the JFSC</li> <li>• Understand the JFSC structure</li> <li>• Laws, codes, and other rules an overview</li> <li>• JFSC communications</li> <li>• Understanding JFSC visits and the risk based approach</li> <li>• What to keep an eye out for – what is coming up?</li> </ul>	<b>13th March</b>  <b>4:30 - 6:30</b>	<b>£125</b>	<b>2 hours</b>
2	<b>Understanding the Jersey regulatory environment – an overview</b>	<p>This session will consider Policy Statements (PS) which records the Commission's policies in respect of certain aspects of legislation or regulatory approach and Guidance Notes (GN) that provide guidance on complying with either a legislative or regulatory requirement. specifically it will look at:</p> <ul style="list-style-type: none"> <li>• FS(J)L Licensing Policy – December 2010</li> <li>• Outsourcing (across all sectors) and Delegation by Jersey Certified Funds and FSBs - May 2011</li> </ul>	<b>24th April</b>  <b>4:30 - 6:30</b>	<b>£125</b>	<b>2 hours</b>
3	<b>Understanding the nature of principle based regulation in Jersey and the application of the codes of practice:</b>	<ul style="list-style-type: none"> <li>• An overview of principles, rules and expectations. A review of the key principles such as:</li> <li>• Conducting business with integrity.</li> <li>• Having the highest regard for the interests of its clients.</li> <li>• Organising and controlling affairs effectively for the proper performance of business activities</li> <li>• Being able to demonstrate the existence of adequate risk management systems.</li> <li>• Being transparent in its business arrangements.</li> <li>• Maintaining, and being able to demonstrate the existence of, both adequate financial resources and adequate insurance.</li> <li>• Dealing with the Commission and other authorities in Jersey in an open and co-operative manner.</li> <li>• Avoiding statements that are misleading, false or deceptive.</li> </ul>	<b>22nd May</b>  <b>4:30 - 6:30</b>	<b>£125</b>	<b>2 hours</b>

## 3. Course List & Outlines

			DATE	Price	CPD Hours
4	<b>Anti money laundering and combating terrorist financing an overview</b>	<ul style="list-style-type: none"> <li>• The AML environment – international developments, laws and orders and FSC rules</li> <li>• AML Policies and procedures - what is the difference and why they are important</li> <li>• Probability of an offence crystallising - using leading case studies</li> <li>• Risk of not reporting - using real case studies</li> <li>• Understanding what ML &amp; TF is - demystifying the myths!!</li> <li>• Government and other Sanction risk (e.g. HMT, EU, OFAC etc.)</li> <li>• Understanding the difference between KYC - ID&amp;V - CDD</li> <li>• Profiling customers - what does it mean, what you need to do</li> <li>• Building and using trigger events</li> <li>• Summary and key messages</li> </ul>	11th Sep 4:30 - 6:30	£125	2 hours
5	<b>The AML handbook</b>	<ul style="list-style-type: none"> <li>• Corporate governance</li> <li>• Customer due diligence requirements</li> <li>• Identification and verification of identity</li> <li>• Monitoring activity and transactions</li> <li>• Reporting money laundering and terrorist financing activity</li> <li>• Vetting, awareness and training of employees</li> <li>• Record keeping</li> <li>• Existing Customers</li> </ul>	9th Oct 4:30 - 6:30	£125	2 hours
6	<b>Compliance and governance in a Jersey regulated business</b>	<ul style="list-style-type: none"> <li>• An overview of the JFSC the JFSCs expectations</li> <li>• Span of control</li> <li>• The board and senior management – what should they be doing?</li> <li>• Considering the functions of the CO, MLCO, MLRO</li> <li>• Internal systems and controls</li> <li>• Integrity and competence including Continuing Professional Development (CPD)</li> <li>• Complaints</li> <li>• Record Keeping</li> </ul>	6th Nov 4:30 - 6:30	£125	2 hours

### 3. Course List & Outlines

			DATE	Price	CPD Hours
7	<b>Enforcement, the law and the JFSC</b>	<ul style="list-style-type: none"> <li>• An overview of the process</li> <li>• Supervision to enforcement</li> <li>• Consideration of cases</li> </ul>	27th Nov 4:30 - 6:30	£125	2 hours
8	<b>Jersey Financial Services Commission comments and observations.</b>	<ul style="list-style-type: none"> <li>• Onsite visit reports</li> <li>• Mystery shopping findings</li> <li>• Dear CEO letters</li> <li>• Post examination mediation schedules [PEMS]</li> </ul>	15th Jan 4:30 - 6:30	£125	2 hours
<b>BPP Jersey Certificate in Regulatory Awareness</b>					
9	<b>Revision Session</b>	Refresher session covering the main points from the above 8 sessions	22nd Jan 4:30 - 6:30	FREE	2 hours
10	<b>Exam Session</b>	Complete a short examination to obtain the Jersey Certificate in Regulatory Awareness	31st Jan 4:30 - 6:30	FREE	2 hours

# 4. Meet the Lead Presenter



**Mathew Beale FCSI AIFP,**  
**Managing Director Comsure Compliance Limited**

Mathew, is a Fellow of the Chartered Institute for Securities & Investment and founder of Comsure. Having started his career working within the asset management industry for ten years, Mathew has since focused on financial services regulation. Between 1995 and 2002, he worked for the body that is now known as the Jersey Financial Services Commission, where he was responsible for the day-to-day conduct of business of regulated entities and where he reached the position of Senior Compliance Manager. Since 2002, he has worked within private practice in all aspects of regulatory compliance including:

- Assisting in the undertaking a number of reporting professional projects for the Jersey Financial Services Commission;
- Being involved in the preparation of the anti-money laundering guidance notes in Mauritius;
- Writing and delivering numerous training courses relating to the field of compliance for private and public bodies.
- Being a senior lecturer on the International Compliance Association's (ICA) Introductory Certificate in Compliance, the International (and UK) Diploma in Compliance and the UK Diploma in Anti-Money Laundering. During this time he was an acknowledged co-author of
- The materials used by the ICA in their UK and International Diplomas in Compliance.

Since 2005, he has worked within Comsure in all aspects of regulatory compliance, including:

- Attending at various financial services businesses with a view to assisting them in their internal audit processes;
- Developing rectification programmes for entities which had come under regulatory review;
- Working in Mauritius on specialised assignments and since 2009 assisted the regulator in the Seychelles in delivering specialised training.



## 5. Venue and Course Requirements

### How to find us

#### Directions

From West Centre take Peter Street alongside Atlantique Seafood Restaurant, and take first turning on right into Hilary Street. We are the second building on the left.

#### Directions

From Airport when reaching roundabout, continue straight on until you reach a filter in turn. Take the right turning and continue along Beaumont Hill. You will then reach another filter in turn at the bottom of the hill, take the left hand side turning and continue along Victoria Avenue going under the underpass and passing through the tunnel. Take the first left after the tunnel (Grenville Street) and then then the first right at the traffic lights. Turn left into James Street and then take the first turning on the left (by the Mayfair Hotel) and take the second turning on the left. Continue across the road and you are at Hilary Street.



## 6. Booking Details

### How to Book

Simply complete the booking form over the page and forward it to our customer service team:

Fax: 01534 711801

Email: [ianlucas@bpp.com](mailto:ianlucas@bpp.com).

Post: BPP Professional Education 19 Hilary Street, St Helier JE2 4SX

#### ONLINE BOOKING DETAILS

There is the option of booking online at <http://training.comsuregroup.com>

Once we have received your booking we will send you confirmation along with full joining instructions.

**All prices are subject to 5% GST unless you automatically qualify as an International Services Entity (ISE).**

### Loyalty Discounts

- Anyone attending all 8 sessions can receive the 9th refresher session free.
- Organisations booking 8 or more people onto a session can receive one of these places free.

# 7. Booking Form (manual & online)

## Delegate details

Title: Mr/Mrs/Ms etc: .....

First Name: .....

Surname: .....

Date of birth: .....

Address for any correspondence (home / work)

.....

.....

..... Post code: .....

Daytime Telephone: .....

Email address: .....

Signature: .....

## Employer details

Company name: .....

Authorising Manager: .....

Job Title: .....

Please tick if you wish to be advised of any absences

Company Address: .....

.....

..... Post code: .....

Daytime Telephone: .....

Email Address .....

Signature: .....

Bookings accepted at anytime before the course date

## Course details — Please complete the sessions you wish to attend

Session 1:	Date:	Cost: £
Session 2:	Date:	Cost: £
Session 3:	Date:	Cost: £
Session 4:	Date:	Cost: £
Session 5:	Date:	Cost: £
Session 6:	Date:	Cost: £
Session 7:	Date:	Cost: £
Session 8:	Date:	Cost: £
Session 9:	Date:	Cost: £

Do you have any special needs / disability that may affect your learning or your ability to evacuate BPP premises in the case of an emergency? If so, please advise us in advance and arrive for the start of your first course 15 minutes early to complete necessary evacuation procedures.

**Upon completion of this form, it is acknowledged that the terms and conditions overleaf have been read and agreed**

# 8. Payment & Terms and Conditions

**Payment details** (please tick) Invoice  Card  Cheque   
Grand total £: ..... Card type (please tick) MasterCard  Visa  Switch   
Card number ..... Expiry date: .....  
Valid from: ..... Issue no: ..... Security code (last 3 digits on signature strip) .....  
Cardholder's name (as it appears on the card) .....  
Cardholder's address (if different from above) .....  
.....  
Cardholder's signature .....  Cheque enclosed (payable to BPP CI Ltd)

**ONLINE BOOKING DETAILS**  
There is the option of booking online at <http://training.comsuregroup.com>

## Amendments and Cancellations

If you need to make any amendments you can do so by email: [ianlucas@bpp.com/](mailto:ianlucas@bpp.com/)

BPP will accept name changed at any point up to the start of the course free of charge.

If it becomes necessary to cancel a course delegate the following policy will apply.

- Cancellations 28 days or more in advance: No charge / full refund
- Cancellations 28-7 days in advance: 50% charge
- Cancellations less than 7 days in advance: no refund

## Change of date, tutor or venue

BPP reserves the right to change course dates, venues and tutors or cancel in exceptional circumstances. We will of course advise you of any charges as early as possible.



*“BPP Professional Education trains people for the global professional economy by offering exam based courses and professional development programmes”*

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*Our Commitment to You - COMSURE's Financial Services Training, we stand for uncompromising professionalism, quality and innovation. Our aim is to empower our delegates (and ultimately our clients) to succeed by developing their existing knowledge and skills base in their professional career.*

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