



JERSEY REGULATORY
AWARENESS
PROGRAMME 2013

In association with COMSURE



COURSE CALENDAR

All sessions run from 16:30 to 18:30

UNDERSTANDING THE JERSEY REGULATORY
ENVIRONMENT - AN OVERVIEW (PART 1)

29 JANUARY

UNDERSTANDING THE JERSEY REGULATORY
ENVIRONMENT - AN OVERVIEW (PART 2)

12 FEBRUARY

UNDERSTANDING THE NATURE OF PRINCIPLE
BASED REGULATION IN JERSEY AND THE
APPLICATION OF THE CODES OF PRACTICE

12 MARCH

ANTI MONEY LAUNDERING AND COMBATING
TERRORIST FINANCING - AN OVERVIEW

16 APRIL

THE AML HANDBOOK

14 MAY

COMPLIANCE AND GOVERNANCE
IN A JERSEY REGULATED BUSINESS

18 JUNE

ENFORCEMENT, THE LAW AND THE JFSC

10 SEPTEMBER

JERSEY FINANCIAL SERVICES COMMISSION
COMMENTS AND OBSERVATIONS

15 OCTOBER

REVISION SESSION

19 NOVEMBER

EXAM SESSION

3 DECEMBER

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.

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) are 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 nonfinancial 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 specialists 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.





VENUE

All sessions will take place at BPP, 19 Hilary Street.

PRESENTATION

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 of 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.

COSTS

You can book on individual sessions or the full programme (and get 9 sessions for the price of 8)

Individual sessions:	£ 125.00
Full programme (9 sessions & exam):	£1,000.00

Prices do not include GST. Those organisations or individuals who are not exempt from GST will pay an additional 5%.

DISCOUNT

Organisations booking 5 or more people onto an individual session can receive a 6th place free.

TIMINGS

All sessions will run from 16:30 to 18:30

HOW TO BOOK

Simply complete the booking form at the back of this brochure and forward to Ian Lucas at BPP.

Email: ianlucas@bpp.com,
Fax: 01534 711801.

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

TERMS & CONDITIONS

If you need to make amendments you can email: ianlucas@bpp.com. We will accept name changes 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 27 - 7 days in advance, 50% charge
Cancellations less than 7 days in advance, no refund

BPP are working in conjunction with Comsure to deliver the Jersey Regulatory Awareness Programme. All content, delivery and views expressed are those of Comsure.

CHANGE OF DATE, VENUE OR TUTOR

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

UNDERSTANDING THE JERSEY REGULATORY ENVIRONMENT - AN OVERVIEW (PART 1)

29 JANUARY

- Introduction to compliance and designing a compliance framework
- Know your way round the JFSC
- Understand the JFSC structure
- Laws, codes, and other rules an overview
- JFSC communications
- Understanding JFSC visits and the risk based approach
- What to keep an eye out for – what is coming up?

UNDERSTANDING THE JERSEY REGULATORY ENVIRONMENT - AN OVERVIEW (PART 2)

12 FEBRUARY

This session will consider Policy Statements (PS) which record 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:

- FS(J)L Licensing Policy – December 2010
- Outsourcing (across all sectors) and Delegation by Jersey Certified Funds and FSBs - May 2011

UNDERSTANDING THE NATURE OF PRINCIPLE BASED REGULATION IN JERSEY AND THE APPLICATION OF THE CODES OF PRACTICE:

12 MARCH

An overview of principles, rules and expectations. A review of the key principles such as:

- Conducting business with integrity.
- Having the highest regard for the interests of its clients.
- Organising and controlling affairs effectively for the proper performance of business activities
- Being able to demonstrate the existence of adequate risk management systems.
- Being transparent in its business arrangements.
- Maintaining, and being able to demonstrate the existence of, both adequate financial resources and adequate insurance.
- Dealing with the Commission and other authorities in Jersey in an open and co-operative manner.
- Avoiding statements that are misleading, false or deceptive.

ANTI MONEY LAUNDERING AND COMBATING TERRORIST FINANCING - AN OVERVIEW

16 APRIL

- The AML environment – international developments, laws and orders and FSC rules
- AML Policies and procedures - what is the difference and why they are important
- Probability of an offence crystallising - using leading case studies
- Risk of not reporting - using real case studies
- Understanding what ML & TF is - demystifying the myths!!
- Government and other Sanction risk (e.g. HMT, EU, OFAC etc.)
- Understanding the difference between KYC - ID&V - CDD
- Profiling customers - what does it mean, what you need to do
- Building and using trigger events
- Summary and key messages

THE AML HANDBOOK

14 MAY

- Corporate governance
- Customer due diligence requirements
- Identification and verification of identity
- Monitoring activity and transactions
- Reporting money laundering and terrorist financing activity
- Vetting, awareness and training of employees
- Record keeping
- Existing Customers

COMPLIANCE AND GOVERNANCE IN A JERSEY REGULATED BUSINESS

18 JUNE

- An overview of the JFSC the JFSCs expectations
- Span of control
- The board and senior management – what should they be doing?
- Considering the functions of the CO, MLCO, MLRO
- Internal systems and controls
- Integrity and competence including Continuing Professional Development (CPD)
- Complaints
- Record Keeping

ENFORCEMENT, THE LAW AND THE JFSC

10 SEPTEMBER

- An overview of the process
- Supervision to enforcement
- Consideration of cases

JERSEY FINANCIAL SERVICES COMMISSION COMMENTS AND OBSERVATIONS.

15 OCTOBER

- Onsite visit reports
- Mystery shopping findings
- Dear CEO letters
- Post examination mediation schedules [PEMS]

REVISION SESSION

19 NOVEMBER

Refresher session covering the main points from the above 8 sessions

EXAM SESSION

3 DECEMBER

Complete a short examination to obtain the Jersey Certificate in Regulatory Awareness

JRAP BOOKING FORM

Please return to: Ian Lucas, email: ianlucas@bpp.com fax: 01534 711801



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PROFESSIONAL
EDUCATION

PERSONAL 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:

AUTHORISATION TO INVOICE EMPLOYER

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:

COURSE DETAILS

Course:	Date:	Cost: £
Course:	Date:	Cost: £
Course:	Date:	Cost: £
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Course:	Date:	Cost: £

Do you have any special needs/disability that may affect you in the event of a building evacuation whilst you are on the premises? Yes No
(If yes, please arrive for the start of the first session 15 minutes early to allow for the local health and safety Officer to complete the necessary evacuation procedure and assessments with

PAYMENT DETAILS (please tick)

Grand total £: Card type (please tick) Invoice Card Cheque
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)

Note: By signing this form you are agreeing to our Terms & Conditions as stated on our website. To read the full Terms & Conditions go to bpp.com/terms

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ambition
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BPP PROFESSIONAL EDUCATION

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