

- Compliance
- Senior Management Support
- Training
- Technology
- Due Diligence
- Government Services

Two essential Training events in October 2018

COURSE TITLE: *General Data Protection Regulation (GDPR)*

DATE: *02 October 2018*

Venue: *The Westin Turtle Bay Resort & Spa*

Course Objectives:

Whether you wish to prepare for a GDPR exam, or you are a data protection officer [DPO] and / or a director come and learn how to meet the strict requirements of GDPR in 1 day with Comsure's accelerated GDPR training. On this General Data Protection Regulation [(EU) 2016/679] Practitioner workshop, you'll be introduced to the regulation itself, including GDPR basics and risk management.

You'll be shown GDPR's relationship to current data protection and privacy legislation in Europe and elsewhere and learn the multi-jurisdictional consequences for the collection, retention and processing of Personal Data.

PROGRAMME:

1. Overview of legal systems and their interrelationships
2. Embedding GDPR within organisations under common law, civil law and other legal systems
3. Major required changes in corporate governance standards and processes
4. Subtle effects of 'Big Data'
5. How to succeed under the self-reporting model of GDPR
6. what the integrated Personal Data environment would look like in your organisation.

Learning Outcome:

To develop, integrate and manage the changes required by GDPR in your organisation's governance, business and data processing.

Profile of Participants:

- Senior executives responsible for process and governance
- Contractors wishing to capitalise on this new area of process
- Governance, risk and compliance (GRC) practitioners
- Lawyers wishing to understand the whole context of GDPR
- Data privacy, security and compliance consultants

The Comsure Group

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TIME TABLE

<i>General Data Protection Regulation (GDPR)</i>	
08.30 – 09.00	Registration
09.00 – 10.15	Welcome <i>Overview of legal systems and their interrelationships</i>
10.15 – 10.45	Coffee break
10.45 – 11.30	<i>Embedding GDPR within organisations under common law, civil law and other legal systems</i>
11.30 – 12.15	<i>Major required changes in corporate governance standards and processes</i>
12.15 – 13.15	LUNCH
13.15 – 14.15	<i>Subtle effects of 'Big Data'</i>
14.15 – 15.15	<i>How to succeed under the self-reporting model of GDPR</i>
15.15 – 15.45	Coffee break
15.45 – 16.45	<i>what the integrated Personal Data environment would look like in your organisation.</i>

Biography of trainer:

Mathew Beale is a Fellow of the Chartered Institute for Securities & Investment and Principal and Director of the “Comsure Group of Companies” which was founded in 2005. Comsure provides regulatory risk advisory services to regulated business in the Channel Islands and elsewhere. Significant projects undertaken by Mathew as a compliance professional include: internal compliance audits and associated matters; rectification programmes following regulatory inspections; assisting legal teams in proceedings against regulated bodies; reporting professional projects; preparation of AML guidance notes for a regulator; and assisting private and public bodies with industry wide compliance and AML training. Mathew was also a senior lecturer for the International Compliance Association’s (ICA) and co-author on materials used by the ICA and other training bodies.

REGISTRATION:

Fees:

Standard Entry Fees \$700

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COURSE TITLE: The New AML/CFT Framework

DATE: 04 October 2018

Venue: The Westin Turtle Bay Resort & Spa

Course Objectives:

A workshop that will consider “The Finance (Miscellaneous Provisions) Act 2018” and its impact on the global business sector

During this one day event, Comsure will address some of the salient features of legislative amendments touching the global business sector which have been introduced by the Finance (Miscellaneous Provisions) Act (the “Finance Act”) passed by the National Assembly on 31 July 2018. The Finance Act gives effect to the measures announced in Budget Speech 2018-2019 to revamp and further modernise the global business sector.

More specifically Comsure will focus on the new requirements for Combatting money laundering and terrorism financing

Financial institutions (A reporting person, e.g., a bank, financial institution, cash dealer or member of a relevant profession or occupation) are now expected to implement antimoney laundering and anti-terrorism financing programs (including appointing compliance officers, conducting screening procedures, ongoing trainings and audits).

These compliance programmes must now include:

1. AML/CFT Risk assessment – Client & operations
2. AML/CFT controls - policies, controls and procedures –
3. AML/CFT Customer due diligence (“CDD”) – The basics
4. AML/CFT Customer due diligence (“CDD”) – and UBOs
5. AML/CFT Reliance upon third parties - Reliance upon third parties
6. AML/CFT Recordkeeping –

PROGRAMME:

1. AML/CFT Risk assessment – Client & operations

- a. A reporting person, must identify, assess and monitor their money laundering and terrorism financing risks.
- b. The risk assessment must take into account all relevant risks factors, including but not limited to:
 - i. (i) nature, scale and complexity of the reporting person’s activities,
 - ii. (ii) the products and services provided by the reporting person,
 - iii. (iii) reliance on third parties for elements of the customer due diligence process,
 - iv. (iv) the outcome of any risk assessment carried out at a national level and any guidance issued.

2. AML/CFT controls - policies, controls and procedures –

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- a. A reporting person must now establish policies, controls and procedures to mitigate and manage effectively the risks of money laundering and terrorism financing identified in a risk assessment.
 - b. Such policies, controls and procedures must be regularly updated, and the reporting person must also maintain a written record of them, including any changes brought to them.
- 3. AML/CFT Customer due diligence ("CDD") – The basics**
- a. CDD requirements vary according to the risk assessment carried out by the reporting person and as may be prescribed or specified by a supervisory authority.
 - b. CDD should also be applied to existing customers and beneficial owners with which it had a business relationship on the commencement of this new obligation.
- 4. AML/CFT Customer due diligence ("CDD") – and UBOs**
- a. While the Act did not previously define a 'beneficial owner', this has now been done.
 - b. A 'beneficial owner' is a natural person who:
 - i. (i) ultimately owns or controls a customer; and
 - ii. (ii) on whose behalf a transaction is being conducted
 and includes a natural person who exercises ultimate control over a legal person or arrangement or such other person as may be prescribed.
- 5. AML/CFT Reliance upon third parties**
- a. The CDD requirements shall be applied at appropriate times and by materiality and risk.
 - b. Reliance upon third parties to carry out CDD does not reduce the responsibility of the reporting person.
- 6. AML/CFT Recordkeeping –**
- a. A reporting person must document the risk assessments in writing, keep it up to date, and on request, make it available to the relevant competent authority without delay.
 - i. A reporting person must maintain its records and books about customers and transactions which must include the following information
 1. (i) information relating to the identity of customers and beneficial owners, and the results of any analysis conducted under FIAMLA,
 2. (ii) records on transactions, both domestic and international, sufficient to allow the reconstruction of each transaction for both account holders and non-account holders, and
 3. (iii) copies of all suspicious transactions reports, including any accompanying documentation.
 - ii. All such information must be kept for at least seven years after the business relationship has ended, after the completion of the transaction or from the date the report was made, as applicable.

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15.45 – 16.45	AML/CFT Recordkeeping

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