

# Advanced Workshop

Discover Crucial Strategies to Effectively Fight the Risks Associated with Money Laundering and the Financing of Terrorism

12th-13th October 2009

Crowne Plaza Mutiara Hotel, Kuala Lumpur, Malaysia

**Free takeaway!!!**  
A compilation of various AML/CFT publications published by various International Governmental Organizations (IGO's)



## Course Facilitator:

**Kenneth L. Bryant**  
Managing Director  
**Bryant & Associates, LLC**

## Testimonials

*"Mr. Bryant is not only a subject matter expert with respect to Bank Secrecy Act/USA Patriot Act issues, but for international AML/CFT best practices and regulations as well."*

*~ Managing Partner, ImpactAML LLC*

*"Ken is above all. He is extremely devoted to understand how the criminal mind works and how the law lends to protecting an institution. He defines Best Practices that the industry should follow."*

*~ Account Manager, Prime Associates, Inc.*

*"Mr. Bryant gave an excellent presentation on terrorism financing and I had a great time learning a lot of valuable information."*

*~ AML Officer, Wachovia*

*"Mr. Bryant is very knowledgeable and he provided good exercises and experience."*

*~ Chief Executive Officer, Cayman Islands Chamber of Commerce*

## CERTIFICATION

Certified Anti-Money Laundering Specialists (CAMS)

Certified Fraud Examiner (CFE)

Certified Protection Professional (CPP)

Certified Risk Professional (CRP)

Anti-Money Laundering Professional (AML/P)

International Compliance Association, Fellow (FICA)

International Diploma in Compliance (COMP)

International Diploma in Anti-Money Laundering (AML)

## PARTIAL LIST OF ARTICLES PUBLISHED:

- Regulatory Initiatives, Scandals, and The Impact on The Regulatory Environment
- Designing a Comprehensive Compliance Risk Management Framework
- Commentary: Screening The Politically Prominent
- Natural disaster and many laundering risks

## Capitalise On The Expert Knowledge To Gain Maximum Value On These Vital Issues:

- ❖ **UNDERSTAND** the key issues in effectively combating the Financing of Terrorism and Anti-Money Laundering
- ❖ **ACHIEVE** in-depth knowledge relating to the Financing of Terrorism
- ❖ **LEARN** from international AML Standards and apply it to an Asia-Pacific context
- ❖ **AVOID** making the same mistakes by analyzing high profile money laundering cases
- ❖ **ENHANCE** the knowledge of AML and CFT risks in Asia
- ❖ **EXAMINE** the differences between AML and CTF
- ❖ **FORGE** a strategic connection between AML and CTF
- ❖ **DISCOVER** how Know Your Employee (KYE) and Internal Reviews can assist your AML program
- ❖ **IMPART** techniques on how to conduct a Risk Assessment
- ❖ **MITIGATE** the risks associated with Money Laundering by learning various Money Laundering schemes
- ❖ **GAIN** insights into the role of Information Technology in AML
- ❖ **DETERMINE** a risk matrix for your AML program
- ❖ **FIND OUT** how to amend your AML Program to address the CFT Issues

**UNI** training courses are thoroughly researched and carefully structured to provide practical and exclusive training applicable to your organisation.

Benefits include:

- Thorough and customised programmes to address current market concerns
- Illustrations of real life case studies
- Comprehensive course documentation
- Strictly limited numbers

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## WORKSHOP OVERVIEW

In recent years, the worldwide community has called for an intense fight against Money Laundering and the Financing of Terrorism and had made it a global priority. Both are global problems that not only can threaten the security, but also compromise the stability, and efficiency of financial systems, thus undermining prosperity of countries.

Money Laundering and the Financing of Terrorism can have devastating economic and social consequences for countries in a whole. This is especially true for developing countries or those with fragile financial systems. Since banks and financial institutions are primary targets exploited by money launderers in order to legitimize their illegal money, personnel involved should always equip themselves with the knowledge and skills needed to effectively implement Anti Money Laundering and Combating with the Financing Terrorism programs.

This workshop presents advanced training on Anti Money Laundering and Combating with the Financing of Terrorism. While discussing key concepts; it also provides many opportunities for the delegates to apply the learned concepts via the highly interactive exercises. In order to enhance the delegates' comprehension, this workshop also presents various international high profile cases which can assist in real world knowledge application.

### DAY 1 | 12th October 2009

#### AWARENESS

- ❖ Background on AML Regime
- ❖ Regulatory Environment
- ❖ Enforcement Environment
- ❖ Compliance Culture
- ❖ Vigilance Policy
- ❖ On Going Monitoring
- ❖ Suspicious Activity Recognition
- ❖ Know Your Customer (KYC)
- ❖ Know Your Employee (KYE)
- ❖ AML/CFT Program Reviews

#### THE IMPORTANCE OF COMBATING THE FINANCING OF TERRORISM (CFT)

- ❖ Importance of CFT
- ❖ Key differences between ML and TF
- ❖ Characteristics
- ❖ Mechanics
- ❖ Red Flags
- ❖ Methodology of TF
- ❖ Sources
- ❖ Laundering
- ❖ Amending your AML Program to Address CFT Issues

**Case Study: Cigarette Smuggling Linked to Terrorism**

#### CONDUCTING A RISK ASSESSMENT

- ❖ Enterprise Wide Structured Risk Assessment
- ❖ Risk Assessment
- ❖ General Risk
- ❖ OFAC Sanction Risk
- ❖ Risk Types
  - ◆ Sample Risk Type Criteria - Geographical
  - ◆ Sample Risk Type Criteria - Customer
  - ◆ Sample Risk Type Criteria – Products/Services
- ❖ BSA/AML Risk Assessment
- ❖ Risk Management "Equation"
- ❖ Risk Matrix
  - ◆ Collaborative Effort
  - ◆ Testing the Risk Model
  - ◆ Ongoing Maintenance and Review
- ❖ Risk Model Engine Application Development
- ❖ Risk Scoring Data Flow
- ❖ Considerations

**Exercise: Identification of criteria; assign values and weighting to their business**

### DAY 2 | 13th October 2009

#### ROLE OF INFORMATION TECHNOLOGY (IT) IN AML

- ❖ Data Quality
- ❖ Due Diligence
- ❖ Software Issues
- ❖ SDLC

**Case Studies: IT Related and AML Program Related**

#### CREATING, DEVELOPING, STAFFING, TRAINING, AND OPERATING AN IN-HOUSE FINANCIAL INTELLIGENCE UNIT (FIU)

- ❖ Background
- ❖ Incorporating CFT into your AML program
- ❖ Intake Sources
- ❖ Types of verification
- ❖ Key Objectives to Development
- ❖ Sources of Information & Risk Relevance
- ❖ Identifying & developing investigative skill
- ❖ Structuring Research
- ❖ FIU Resources
- ❖ Research Methodology
- ❖ Investigative Tools

**Case Study: Cigarette Smuggling Linked to Terrorism**

**Exercise: Identification of the local/regional sources of tools and information**

#### PRE-COURSE QUESTIONNAIRE

To ensure that you gain maximum value from this course, a detailed questionnaire will be forwarded to you upon registration to establish your exact training needs and issues of concern. Your completed questionnaire will be analysed by the course trainer prior to the event and addressed during the event. You will receive a comprehensive set of course documentation to enable you to digest the subject matter in your own time.

### Program Schedule

#### (Day 1 & Day 2)

08:30	Registration
09:00	Morning Session Begins
10:40 - 11:00	Refreshments & Networking Break
12:45	Luncheon
14:00	Afternoon Session begins
15:30 - 15:50	Refreshments & Networking Break
17:00	Course Ends

## About Your Course Facilitator

**Kenneth L. Bryant** has more than twenty years senior management experience both in the United States and Overseas as a money laundering investigator, compliance officer/money laundering reporting officer, enforcement regulator and a counter terrorism and counter narcotics consultant. For the past several years, Mr. Bryant has served as a consultant and senior Subject Matter Expert (SME) on large bank (both foreign and domestic) remediation, usually where there is regulatory enforcement action. Prior to that, Mr. Bryant served as the Director and Product Developer for KYC Outsourced Services, a Division of Internet Financial Services [IFS], Ltd. Mr. Bryant assisted Financial Services Providers (FSP's) in the Banking, Trust, Securities, Mutual Fund, Company Management and Insurance sectors.

Mr. Bryant is a former Senior Manager, Regulatory Compliance, for KPMG in the Cayman Islands where he was responsible for **establishing the first dedicated regulatory compliance consulting practice** on the island. During that time, Mr. Bryant was seconded to the Cayman Islands Monetary Authority (CIMA) to assist in the establishment of their Compliance (Enforcement) Division. Mr. Bryant was **directly involved in the process which resulted in the FATF officially removing the Cayman Islands from Non-Cooperative Countries or Territories (NCCT) status**, commonly referred to as the "Black List."

Prior to joining KPMG, Mr. Bryant was a Senior Consultant to Ambassador Morris D. Busby (former Ambassador at Large for Counter Terrorism and US Counter Terrorism Coordinator) in Washington, D.C., specializing in global Counter Terrorism and Narcotics issues, two of the most influential driving forces in the international Anti-Money Laundering/Combating the Financing of Terrorism (AML/CFT) effort today. Mr. Bryant has also held five Corporate and Financial Compliance Officer/MLRO roles in which he was responsible for **designing, writing, implementing, administering and monitoring effective compliance programs for multi-national corporations** with substantial interests overseas.

Mr. Bryant is a subject matter expert with respect to U.S. and International banking laws, rules and regulations, audit and examination codes and guidelines for best practice techniques concerning anti-money laundering, know your customer/enhanced due diligence, training, record keeping, and suspicious activity recognition and reporting. He is a frequent presenter and lecturer on AML/CFT Legislation, Regulation and Guidance Notes; regular media guest and author/contributor to international programs and articles on offshore finance and global AML issues, international standards and industry best practices.

Mr. Bryant has been the developer of **the AML Intelligence Bulletin, the Intelligence Watch List Database of known high risk individuals and entities, the Bank Secrecy Act (BSA) Self-**

**Audit Checklist tool, the Compliance Bulletin, various on-line computer based training (CBT) and compliance professional development tools, and the Regulatory Compliance Forum, of which he is also the Moderator.** He has extensive experience in writing compliance policy and procedure manuals; developing and presenting AML training programmes for target audiences which are both general and industry sector specific; conducting AML reviews; tailoring and implementing due diligence checklists; designing retrospective due diligence programs and risk assessments; and integrating IT managed solutions for compliance and due diligence acquisition and record keeping. He is considered by many to be the **first and one of the foremost knowledgeable experts in the creation and maintenance of high risk databases** using open source information on a global basis. Mr. Bryant was also the **first proponent to develop a working Electronic KYC (eKYC) model** and has been the **original creator behind the idea of an International Registry of Due Diligence Documentation**, a similar version of which has now been called for by the Wolfsberg Group and supported by the Basel Committee. Mr. Bryant has also played a recent active role in calling for various agencies of the U.S. Government, the European Union, and Interpol to more effectively consolidate and disseminate official sanction and wanted lists.

Mr. Bryant has also provided technical training assistance to the Caribbean Anti-Money Laundering Programme (CALP), the Financial Reporting Unit (FRU)/Financial Intelligence Unit (FIU), and the Commercial Crime Branch (CCB) of the Royal Cayman Islands Police (RCIP). Mr. Bryant has served as an advisor to the Commissioner of Police and the "Top Management Team" of the Royal Cayman Islands Police Service during a recent IMF/World Bank Review of the Cayman Islands in September 2003.

He is a Fellow of the International Compliance Association (ICA), and holds two internationally accredited university level diplomas, one in AML and the other in Compliance. Mr. Bryant is also a **Certified Anti-Money Laundering Specialist and Professional Charter Member of the Association of Certified Anti-Money Laundering Specialists** and has served on their Certification, Education, and Technology Task Forces. He has been a **Certified Fraud Examiner, Certified Protection Professional, Certified Risk Professional and a Certified Anti-Money Laundering Professional.** Mr. Bryant has recently co-founded a Best Practices and Industry Standards Group for the US Financial Services Industry, through which he chaired the Steering Committee of the Council of Standards and Practices for the National Money Transmitters Association (NMTA).

He advises governments, international bodies, regulatory agencies, financial institutions, consulting firms, and AML vendors on a global basis.

## Who Should Attend

**This training program is uniquely designed to provide valuable insights for Directors, Heads, Vice Presidents, Senior Managers, and Executives who involve in the area of Anti-Money Laundering, particularly from the following departments:**

- ✓ Anti-Money Laundering
- ✓ Compliance
- ✓ Fraud
- ✓ Bank Operations
- ✓ Financial Intelligence Unit
- ✓ AML Enforcement/Governmental

## Why You Cannot Miss This Event

Anti Money Laundering Act in most of the places around the world require all reporting institutions to create ongoing employee training programs to guard against and recognize suspicious transactions. This is to ensure that the employees will always be equipped with the latest knowledge on Money Laundering and Terrorist Financing which includes the latest methods used by the money launderers and the high profile cases happening in other part of the world. By knowing the cases happening, employee will then prepare themselves and take appropriate precautions to AML and CFT.

By attending this 2-day workshop, it will impart skills and techniques that are essential and critical in Anti-Money Laundering and Combating with the Terrorist Financing through extensive discussion of various case studies and comprehensive course content.