

THE CANADIAN ANTI-MONEY LAUNDERING INSTITUTE



Seminar Archive DVD



Compliance Examination Outcomes: Ten Years & Counting

Compliance Reviews have become a requirement for all designated reporting entities under Canada's Money Laundering Act. Compliance Reviews must be undertaken, at minimum, once every two calendar years and, if not completed, could lead to a citation of non-compliance by FINTRAC or other designated regulatory authority.

Compliance Examinations typically refer to the official audits of a reporting entity's compliance regime by FINTRAC and/or another designated regulatory body (e.g., OSFI). These examinations are not carried out on a scheduled basis but take place once an entity has been identified for review.

For the most part, both types of review address the same things; specifically, the main elements of the designated entity's compliance regime. The process includes both an assessment and testing of the accuracy, completeness, and effectiveness of all required elements, with a primary focus on: policy and procedures; training; risk management; and designated reporting, identification, and record-keeping requirements. The findings are compiled in an official Report, which cites non-compliance issues and practices, and, where appropriate, makes suggestions of 'best practices' to assist the reporting entity with enhancing their regime.

The entity-requested Compliance Review often includes guidance for enhancing observed limitations and/or erroneous practices. The regulatory examination report, on the other hand, usually requests a response from the examined entity outlining their specific work plan for managing the identified non-compliance issues and sets a deadline for the submission of that work plan.

This webcast seminar examines the common findings arising from both types of reviews and discusses how reporting entities can best respond. The seminar will explore why some compliance practices do not meet the regulators' expectations and subsequently result in a ruling of non-compliance. Both Chris and Richard draw from their years of experience to highlight various pitfalls, best practices, and limitations found in the Compliance Regimes of different reporting sectors.

Presenters:

Chris Walker – About Business Crime Solutions

Chris, a criminologist and President of *ABCsolutions*, has over 37 years experience working in the public and private sectors with the last eighteen years focused on money laundering controls across Canada. Chris is recognized as a skilled educator who specializes in bringing out the pragmatic aspects of new knowledge using real life examples and common sense approaches to applying new information.

Richard Lee - Pendragon Consulting Services

Richard is an independent consultant bringing his more than twenty years of experience in AML/CTF and his reputation as one of the country's foremost experts in this growing field to the private sector. As a specialist in legislative and regulatory compliance pertaining to AML and CTF, his expertise, network of professional relationships and state-of-the-art knowledge complement his slate of proven client service programs and offerings. With a proven background in the world of financial crime, anti-money laundering and counter terrorist financing and compliance, he has a strong record of innovative and creative thinking pertaining to gathering and managing financial intelligence, and the development of investigative techniques and preventative initiatives targeting international fraud.

System Requirements

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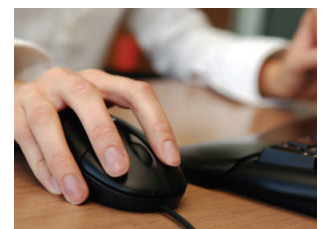
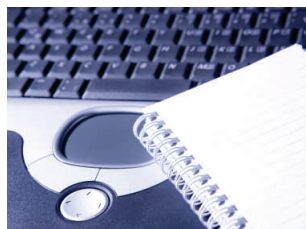
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This webcast seminar is aimed at anyone involved with the development and/or implementation of anti-money laundering compliance procedures within their organization, including:

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Original Broadcast: April 13, 2011
Seminar Topic: Compliance Examination Outcomes: Ten Years & Counting
Speakers: Richard Lee & Chris Walker

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