

**CLARIDEN GLOBAL FINANCE LEADERSHIP INSTITUTE**

# ANTI-MONEY LAUNDERING AND COMPLIANCE WEEK



**PROGRAM A:**

**ANTI-MONEY LAUNDERING, FINANCIAL CRIME AND COUNTER-TERRORISM FINANCING**

19 - 20 June 2017

**PROGRAM B:**

**INTERNAL CONTROL, MONITORING AND RISK MANAGEMENT FOR COMPLIANCE PROFESSIONALS**

21 - 22 June 2017

**SINGAPORE**

Mandarin Oriental, Singapore

Cultivating Best Compliance Practices in Organizations

## CLARIDEN CREDENTIALS AND ENGAGEMENT

Clariden Global is the pre-eminent and influential global business leadership institution. Today, we host more than 200 global executive education and major conference events around the world. We have partnered with professional organizations such as the Association of Chartered Certified Accounts (ACCA) and thought leaders from prestigious universities such as Harvard University John F. Kennedy School of Government, Wharton School of the University of Pennsylvania and Stanford University.

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# THE CLARIDEN EXPERIENCE

ENJOY LEARNING WITH THE  
FIRST-CLASS, WELL-ROUNDED EXPERIENCE

To maximize both your enjoyment and professional development, Clariden Global holds its executive programs at five star hotels, some of which include:



**Shangri-La Hotel, Singapore**  
Singapore

Amidst lush gardens, this 3-wing luxury hotel is 6 km from the iconic Marina Bay Sands resort and 9 km from Sentosa.



**InterContinental Melbourne The Rialto**  
Melbourne, Australia

Set in a grand 1891 building, this upscale chain hotel is 3 blocks from the Yarra River, and an 8-minute walk from the SEA LIFE Melbourne Aquarium.



**Conrad London St James**  
London, United Kingdom

Across the street from St. James's Park tube station, this sophisticated hotel is 10 minutes' walk from Buckingham Palace and 2 miles from the Victoria and Albert Museum.



**Grand Hyatt: Union Square San Francisco Hotel**  
San Francisco, United States

Less than a block from Union Square, this stylish high-rise hotel is an 11-minute walk from the Moscone Center and 1.9 miles from Pier 39.

Terms & Conditions: Clariden Global Pte Ltd reserves the right to change the venue of the program due to reasons beyond their control.

Contact Gwen Yip, Program Director at +65 6899 5030 | [gwen@claridenglobal.org](mailto:gwen@claridenglobal.org)







5,000+  
Companies



10,000+  
Participants




15+  
Countries



50+  
Industries

## WHY CLARIDEN GLOBAL EXECUTIVE EDUCATION?

### GLOBAL ENGAGEMENT

Clariden Global is the pre-eminent and influential global business leadership institution. Today, we host more than 200 Global Executive Education and major conference events across 15 countries and 17 cities, including Singapore, London, Hong Kong, Sydney, Melbourne, Perth, New Zealand, San Francisco, Toronto, Johannesburg, Shanghai, Beijing, Kuala Lumpur, Dubai, Toronto, The Netherlands, New York and Zurich.

### INTERNATIONALLY DIVERSE, SENIOR-LEVEL PARTICIPANTS

Clariden Global Executive Education programs have attracted participants from more than 5,000 global MNCs, regional corporations, and FORTUNE 500 companies, from more than 40 countries. All applications are reviewed based on professional achievement and organizational responsibility. Designed for individuals at all levels, from top executives to emerging leaders, each intensive program is crafted to equip leaders with essential capabilities to improve corporate performance and position their organizations to thrive.

### THOUGHT LEADERSHIP

To provide strategic insights and relevant world-class executive education to global organizations, Clariden Global engages the best thought leaders and leading authorities from around the world. These include professors and faculty leaders from Harvard University, Stanford University, University of Pennsylvania Wharton, London Business School and other premium institutions to deliver transformational knowledge.



# PROGRAM B

## INTERNAL CONTROL, MONITORING AND RISK MANAGEMENT FOR COMPLIANCE PROFESSIONALS

### PROGRAM INFORMATION



#### DATES

21 - 22 June 2017



#### LOCATION

Mandarin Oriental, Singapore



#### TUITION FEES

Early Bird 1 (register and pay by 24 April 2017): S\$2,695

Early Bird 2 (register and pay by 22 May 2017): S\$2,895

Regular Fee: S\$2,995

Group discount of 10% for 2nd participant from the same organization. For limited time only by 22 May 2017, register 3 participants and the 4th participant will receive a complimentary seat (One discount scheme applies).

Note: GST is applicable only to participants from Singapore registered companies. Check your eligibility for 40% Cash Back at IRAS website.



#### PROGRAM ADVISOR

Gwen Yip

Email: [gwen@claridenglobal.org](mailto:gwen@claridenglobal.org)

Phone: +65 6899 5030

### FACULTY DIRECTOR



#### Jason Mefford

*President*

*Mefford Associates*

- **Best-selling author of “Risk-Based Internal Auditing: OCEG GRC Capability Model v3.0”** and featured on ABC, CBS, NBC, and FOX television networks.
- Recognized by **Yale University** as a **rising star in corporate governance**; **finalist** for the **Corporate Secretary Magazine, Corporate Governance Award**
- **Certified Internal Auditor (CIA), Certified Public Accountant (CPA), Governance, Risk Management and Compliance Professional (GRCP), GRC Auditor (GRCA), Certified Risk Based Auditor (CRBA), Certificate in Risk Management Assurance (CRMA), Certified Government Auditing Professional (GRCP) and Certified Internal Controls Auditor (CICA)**
- Leading clients include **Cisco, American Express, Ernst & Young, KPMG, HSBC, Standard Chartered Bank, Nestle**

### PROGRAM ESSENCE

This comprehensive executive program is designed to help compliance professionals effectively **identify the major risks threatening the organization, how to deal with the risks to attain corporate goals** and leverage on these inputs to **develop a practical risk based internal control process**. This session offers an interactive framework to help you **identify, assess, evaluate, mitigate and monitor risks**; which are crucial fundamentals for an organization. Learn how reduce organization’s compliance exposure with the latest framework and compliance guidance for your organization. At the end of the 2-day program, you will be able to **effectively implement an effective compliance program** through appropriate planning and have a **greater understanding of internal controls assessment, objectives and strategies** that can assist you tremendously in **decision making**.



# PROGRAM B

## INTERNAL CONTROL, MONITORING AND RISK MANAGEMENT FOR COMPLIANCE PROFESSIONALS

### KEY BENEFITS

- **Align** your compliance framework to achieve organizational objectives
- **Learn** the COSO Internal Control Framework and OCEG GRC Capability Model to design and implement sound internal control processes
- **Change and prioritize** internal control processes to a risk-based approach in handling exposures and applying internal controls to evaluate KPI
- **Develop and implement** a risk-based approach and use internal controls to ensure your compliance program is effective and efficient
- **Manage** the risk exposures within the decision-making criteria set by board of directors and regulators to achieve corporate buy-in
- **Improve** risk assessment and avoid weak internal controls that does not address the organization's objectives
- **Identify** and select the optimal internal control processes to identify the risks to your organization and effectively mitigate it

### WHO WILL ATTEND THIS PROGRAM

This program is designed for but not limited to Directors, GMs, VPs, Chief Financial Officer (CFO), Chief Internal Auditor (CIA), Chief Audit Executive (CAE), Chief Risk Officer (CRO), Senior Managers, Managers, Auditors, Accountants and Consultants who want to identify and manage the risks that threatening the attainment of their organisation's objectives through risk management and analysis, audit control, fraud prevention, and legal corporate governance.



# PROGRAM B

## INTERNAL CONTROL, MONITORING AND RISK MANAGEMENT FOR COMPLIANCE PROFESSIONALS

### FACULTY DIRECTOR



**Jason Mefford**  
*President*  
*Mefford Associates*

Jason Mefford is an internationally acclaimed speaker and **business coach** as well as the **best-selling author** of "Risk-Based Internal Auditing: OCEG GRC Capability Model v3.0" and has **appeared on ABC, CBS, NBC, and FOX television networks**. He is an expert in **ethics, corporate governance, risk management, compliance, GRC and internal audit**. He is also the President of Mefford Associates, a boutique training, coaching and consulting company.

Jason has been recognized by **Yale University** as a rising star in corporate governance, and was a finalist for the **Corporate Secretary Magazine, Corporate Governance Award**. He also holds various professional accreditations such as **Certified Internal Auditor (CIA), Certified Public Accountant (CPA), Governance, Risk Management and Compliance Professional (GRCP), GRC Auditor (GRCA), Certified Risk Based Auditor (CRBA), Certificate in Risk Management Assurance (CRMA), Certified Government Auditing Professional (GRCP) and Certified Internal Controls Auditor (CICA)**.

He has been the Chief Audit Executive at two different **multi-billion dollar manufacturing companies**. His role includes being in charge of information security and the Chief Ethics and Compliance Officer and Chief Risk Officer. Prior to that, he was a manager and national instructor at both **Arthur Andersen** and **KPMG**, performing internal and external audits and advisory services for clients from various industries.

He is a member of the **Institute of Internal Auditors (IIA)** and has been an active IIA volunteer serving at the both local and international level. He is currently an OCEG Fellow with the Open Compliance and Ethics Group (OCEG), a nonprofit think tank that uniquely helps organizations drive Principled Performance by enhancing corporate culture and integrating governance, risk management, and compliance processes. He is also the **Director of Training** for **OCEG**, and the **Managing Director** of **GRC Certify**, the certification body for OCEG.

Jason has experience in training organizations from all over the world in governance, risk management, compliance, internal controls and internal audit topics which includes manufacturing, food, agribusiness, financial services, retail, healthcare, government, technology, oil & gas, real estate and construction companies.





# PROGRAM OVERVIEW

## INTERNAL CONTROL, MONITORING AND RISK MANAGEMENT FOR COMPLIANCE PROFESSIONALS

### OVERVIEW



Internal controls play an integral role in an organization's success. Hence, management need to prioritize their compliance practice by using a **risk-based approach** in handling exposures and applying internal controls. By ascertaining the **appropriate use of internal controls**, it helps to **reduce compliance exposures** and ensure your organization is managing the exposures within the decision-making criteria determined by the board of directors and regulators. You will also learn how to **design and implement** internal controls with **COSO Internal Control Framework, OCEG GRC Capability Model** and how to apply **international compliance program guidance** from the **Federal Sentencing Guidelines for Organizations (FSGO)** and **ISO 19600:2014**.



The Internal Control, Monitoring and Risk Management for Compliance Professionals program led by internationally acclaimed audit trainer, Mr Jason Mefford, will bring you a complete guide on how to take a risk-based approach and use internal controls to ensure your compliance framework is effective and efficient. The program is designed with different interactive group learning activities to guide you through from the building blocks on basics of risk management, how to identify, assess, evaluate, mitigate and monitor risks, to risk management principles in performing risk based audits.



Through lectures and practical group interactions, discussions, and exercises, you will develop the skills necessary to effectively assess and implement an ideal Internal Control process in your organization.

### CPD CERTIFICATION DETAILS

This course has been independently certified as conforming to accepted CPD guidelines. On average, this executive program contributes 16 hours towards your CPD. Delegates must register at the start and close of each workshop to be awarded a certificate of completion.








# PROGRAM OUTLINE

## INTERNAL CONTROL, MONITORING AND RISK MANAGEMENT FOR COMPLIANCE PROFESSIONALS

 08:30 - 18:00 / 21 June 2017

### DAY 1

#### Session 1: Why We Do Compliance and How it Helps Organizations Achieve Objectives

- The “Big Picture” of business
- Mandatory and voluntary compliance items
- Understanding the relationship between performance, risk and compliance
- Forces, events and impacts on meeting objectives

#### Session 2: Assessing and Responding to Risks and Exposures

- The basics of risk management
- Identifying opportunities, threats and requirements
- Assessing reward, risk and compliance
- Measuring risk
- Appetite, tolerance & capacity
- Responding to risks: (Terminate, Tolerate, Treat, or Transfer)

#### Session 3: Internal Controls

- The basics of internal controls
- Using internal controls to reduce likelihood or impact of events
- Proactive, Detective and Responsive Internal Controls


#### Session 4: The COSO Internal Control Framework - 2013

- The COSO Internal Control Framework – 2013
- 5 elements of internal controls
- 17 principles of internal controls



# PROGRAM OUTLINE

## INTERNAL CONTROL, MONITORING AND RISK MANAGEMENT FOR COMPLIANCE PROFESSIONALS

 08:30 - 18:00 / 22 June 2017

### DAY 2

#### Session 5: Implementing Internal Controls

- Types of internal controls
- Determining the best type of internal control to reduce exposure
- A risk-based approach to internal controls

#### Session 6: Risk Standards and Relationship with Other Functions

- Risk standards: (ISO 31000, COSO ERM, OCEG GRC Capability Framework)
- Relationship between risk management and compliance
- Relationship between internal audit and compliance

#### Session 7: The Minimum Requirements for an Effective Compliance Program

- International requirements for compliance programs
- The Federal Sentencing Guidelines for Organizations (FSGO)
- ISO 19600:2014
- The elements of an effective compliance program

#### Session 8: Performing a Compliance Assessment

- Determining the highest compliance exposures to your organization
- Determining inherent and residual exposure levels
- Creating a response plan to exposures





# YOU MAY BE INTERESTED IN PROGRAM A

## ANTI-MONEY LAUNDERING, FINANCIAL CRIME AND COUNTER-TERRORISM FINANCING

### PROGRAM INFORMATION


 **DATES**  
19 - 20 June 2017

 **LOCATION**  
Mandarin Oriental, Singapore

 **TUITION FEES**  
Early Bird 1 (register and pay by 24 April 2017): S\$2,695  
Early Bird 2 (register and pay by 22 May 2017): S\$2,895  
Regular Fee: S\$2,995

Group discount of 10% for 2nd participant from the same organization. For limited time only by 22 May 2017, register 3 participants and the 4th participant will receive a complimentary seat (One discount scheme applies).

Note: GST is applicable only to participants from Singapore registered companies. Check your eligibility for 40% Cash Back at IRAS website.

 **PROGRAM ADVISOR**  
**Gwen Yip**  
Email: [gwen@claridenglobal.org](mailto:gwen@claridenglobal.org)  
Phone: +65 6899 5030

### FACULTY DIRECTOR



**Neil Jeans**  
*Financial Crime Compliance & Risk Consultant*  
*Initialism Pty Ltd*

- Leading Authority in financial crime investigations with more than 20 years of professional experience in domestic and international fraud and money laundering investigations
- Previously held various senior AML, Sanctions and Anti-Bribery compliance and management roles across 5 continents in renowned firms such as ABN AMRO, UBS, National Australian Bank and PwC
- Actively involved in global compliance associations as a member of the Faculty for the Australian Compliance Institute (ACI) AML Diploma, founding member of the SWIFT Sanction Advisory Group, founding Chair of the Association of Certified Anti-Money Laundering Specialists (ACAMS) Australasian Chapter and member of the UK Joint Money Laundering Steering Group (JMLSG) Board

### PROGRAM ESSENCE

This comprehensive 2-day program is designed for compliance leaders to **design a high quality and agile compliance framework** that is able to withstand the ever challenging and stringent regulations and requirements from regulators. You will pick up the skills to engage with law enforcers and other investigation agencies through **understanding the drivers and expectations of the latest regulations and standard developments in financial crimes**. This session will help to **create a holistic compliance framework and culture to ensure appropriate governance and cohesive compliance culture**. You will also learn how to **implement effective Customer Due Diligence (CDD) process in AML to maintain great client relationships**.





# PROGRAM A

## ANTI-MONEY LAUNDERING, FINANCIAL CRIME AND COUNTER-TERRORISM FINANCING

### KEY BENEFITS

- **Learn** the roles and latest development of FATF policies to avoid non-compliance penalties
- **Learn** the current key predicated offense to prevent negative consequences from financial crimes
- **Develop** risk based approach to AML to reduce the non-compliance risks that hamper the organization's reputation
- **Understand** the client's life cycle to ensure a more effective CDD and monitoring process which leads to greater client relationship
- **Insights** for audit approaches and regulatory visit to achieve optimal outcome for organization
- **Implement** the most appropriate compliance framework to create a holistic and participative compliance culture

### WHO WILL ATTEND THIS PROGRAM

This program is designed for but not limited to mid Senior Level Compliance and Risk Management Officers, Supervisors, Risk and Compliance Managers, Directors, Chief Risk Officers and Financial Controllers who wants to strengthen and reinforce the importance of cultivating a compliance culture, lucid compliance monitoring and reporting process, and comprehensible compliance programs that is agile and ready for the ever integrated compliance environment today.



# PROGRAM A

## ANTI-MONEY LAUNDERING, FINANCIAL CRIME AND COUNTER-TERRORISM FINANCING

### FACULTY DIRECTOR



#### Neil Jeans

*Financial Crime Compliance & Risk Consultant  
Initialism Pty Ltd*

Neil has a unique background in **financial crime risk management, spanning 25 years**. This includes working within **Law Enforcement agencies investigating financial crime, including domestic and international fraud and money laundering, and as a Financial Services Regulator, developing AML regulation and supervision techniques**. Working at senior levels managing AML/CTF, Sanctions and Anti-Bribery compliance across Europe, the US, Latin America, Asia and Australia within three major European financial services companies and one of the major Australian banks. Neil has extensive experience in **designing and implementing policy and controls to address AML/CTF and TFS compliance** and since August 2012 has working as an independent consultant advising financial institutions in Australia and globally on AML/CTF, Sanctions and Anti-Bribery matters.

In addition, Neil is member of the faculty and lectures as part of the International Compliance Association (ICA) Diploma of Applied Anti Money Laundering and Counter Terrorism Management, is a founding member of the SWIFT Sanction Advisory Group, and has regularly attended the Private Sector Expert forum of the Financial Action Task Force (FATF). He was founding Joint-Chair of the Association of Certified Anti-Money Laundering Specialists (ACAMS) Australasian Chapter, and has been a member of the UK Joint Money Laundering Steering Group (JMLSG) Board.

Since August 2011 Neil has been working as a consultant advising organisations in Australia and globally on AML/CTF, and TFS matters, including a major global provider of financial crime risk management solutions, developing innovative solutions to address global challenges in customer due diligence.



# PROGRAM OVERVIEW

## ANTI-MONEY LAUNDERING, FINANCIAL CRIME AND COUNTER-TERRORISM FINANCING

### OVERVIEW



Businesses around the world is facing a new phenomenon in compliance with the heightened scrutinization, stringent regulations and increase in non-compliance costs from the regulators. The recent Panama Paper leak has also impacted organizations' compliance efforts globally as greater stewardships in determining beneficial ownerships, know your customer's standards and due diligence is required. Thus, it is more critical now for organizations to take initiatives to reassess their current compliance program to mitigate their non-compliance risks and vulnerabilities.



With your needs always on top of our mind, Clariden Global's latest program on **Anti-Money Laundering, Financial Crime and Counter-Terrorism Financing**, led by internationally acclaimed financial crime prevention trainer, **Mr Neil Jeans**, will take you through the practical insights of how to **manage an AML and CTF program in ensuring appropriate, accurate and timely assurance over financial crime preventions within an organization.**



The program is designed with different interactive group learning activities from building the blocks of the **drivers and impacts of the current AML and CTF global environment, methodologies to manage AML and CTF risks exposure to the detailed understanding and practical insights in Customer Due Diligence (CDD), monitoring and reporting landscapes to prepare for audit and regulatory visits.** Last but not least, you can expect to learn **how to create a holistic compliance framework** by setting the tone from the top to **cultivate your organization's compliance culture.**

By the end of this program, you will walk away with **comprehensive understanding on the financial crime landscapes and best practices to develop and implement compliance programs** that enables greater efficiency and effectiveness in financial crime prevention.

### CPD CERTIFICATION DETAILS

This course has been independently certified as conforming to accepted CPD guidelines. On average, this executive program contributes 16 hours towards your CPD. Delegates must register at the start and close of each workshop to be awarded a certificate of completion.








# PROGRAM OUTLINE

## ANTI-MONEY LAUNDERING, FINANCIAL CRIME AND COUNTER-TERRORISM FINANCING

 08:30 - 18:00 / 19 June 2017

### DAY 1

#### Drivers and catalysts for developing AML/CTF over the last 25 years:

- Evolution of FATF Recommendation
- Enforcement Activity

#### Overview of the AML/CTF regime

- Risk Based Approach
- Customer Due Diligence Regime:
  - CDD
  - Screening
  - Enhanced CDD
  - Monitoring Regime
  - Reporting Regime
- Management accountability and responsibilities

#### Current drivers that are impact AML regimes globally

- FATF Mutual Evaluations

#### Recent results and reports, and evaluation plans and schedules

- Panama Papers
- G20 Bribery initiatives
- G20/FATF Tax and Beneficial Ownership Transparency

This session will provide context and background to the rest of the workshop and will cover both global issuers and perspectives as well as local content and information per country.

#### Predicate Offenses Overview

- Money Laundering
  - What is money laundering
  - Beyond placement, layering and integration; money laundering how the professionals do it
  - Real life case studies
- Terrorist Financing and Sanctions
  - ◦ What is Terrorist Financing
  - ◦ What is the difference between Money Laundering and Terrorist Financing
- Tax evasion
  - What is tax evasion
  - Overview of methods used
- Bribery and Corruption
  - What is bribery and corruption
  - What are the risks of bribery and corruption
    - Internal risks – business and suppliers
    - External risk – customers and products
- Other predicate crimes
  - Drug Trafficking / Fraud / Human Slavery

This session will provide context and background to the crimes of money laundering and terrorist financing and the key current predicate offences.

Contact Gwen Yip, Program Director at +65 6899 5030 | [gwen@claridenglobal.org](mailto:gwen@claridenglobal.org)



# PROGRAM OUTLINE

## ANTI-MONEY LAUNDERING, FINANCIAL CRIME AND COUNTER-TERRORISM FINANCING

- AML/CTF regime
  - o Legal and Regulatory basis
  - o The current regulatory regime in South East Asia:
    - Current Requirements
    - Current Expectations
    - Current initiatives and changes planned
  - o Law Enforcement expectations
  - o Partnership approach - including the regulated sectors in the fight against financial crime

This session will provide knowledge about the AML/CTF regime the delegates operating in the country, discussing the regulatory drivers and expectations, supervision and enforcement perspectives and how to engage with law enforcement and other investigative agencies.

### **The Risk Based Approach to AML/CTF**


- Overview of the rationale for the Risk Based Approach
- Limitations and opportunities within a Risk Based Approach
- Overview of key ML/TF risks
  - o Environmental
  - o Customer
  - o Business
  - o Product
  - o Channel
  - o Country/Jurisdiction
- Methods and approaches to identify, quantify, and manage each key risk

This session will provide understanding of a key concept in AML/CTF compliance, which drives the entire AML/CTF regime in the country and impacts the compliance arrangement that should be in place.



# PROGRAM OUTLINE

## ANTI-MONEY LAUNDERING, FINANCIAL CRIME AND COUNTER-TERRORISM FINANCING

 08:30 - 18:00 / 20 June 2017

### DAY 2

#### Customer Due Diligence - Part 1

- On-boarding
  - What do I need to know about my customer
  - Individuals vs Legal Persons
  - Identification and verification
  - Legal Persons - Beneficial ownership and control
  - Name screening
  - Customer risk rating methodology
- On-going
  - The client life cycle
  - Monitoring transactions and client behaviour
  - Implementing the right information systems
  - Reporting to management and regulators
- Practical issues with CDD
  - Risk based CDD
  - Electronic verification
  - Name screening and language issues
  - New trends in on boarding

This session will provide a detailed understand of the CDD landscape and requirements in the delegates' country and will allow them to understand their obligations, put in place proportionate controls, and can assess and demonstrate compliance with CDD requirements.

#### Monitoring & Reporting

- Monitoring
  - Transaction Monitoring
  - Manual vs Automated
  - Red Flags
  - Managing Alerts
  - Managing Automated systems
- Reporting
  - Compliance/Regulatory Reporting
  - Threshold Cash Transaction Reporting
  - Suspicious Matter Reporting
  - International Transaction Reporting

This session will provide a detailed understand of the monitoring and reporting obligations and the issues they create for an organization.

- Preparing for an audit or regulatory visits
  - What to prepare
  - How to engage with the examiner
  - How to deal with findings

This session will provide insight into the approaches and methodologies for preparing for an audit or regulatory review of an AML/CTF program and provide knowledge on how to manage the process and achieve optimal outcomes from such a review.





# PROGRAM OUTLINE

## ANTI-MONEY LAUNDERING, FINANCIAL CRIME AND COUNTER-TERRORISM FINANCING

### Creating a holistic compliance framework

- Tone from the top
- Designing a compliance stance that makes sense
- How to implement a “compliance culture”
- Governance & Assurance
  - o Board Reporting
  - o Business Management Reporting
  - o Roles and Responsibilities
  - o Front Line Testing
  - o 2nd Line Oversight
  - o Audit Assurance

This session will provide delegates with practical insight into managing an AML/CTF program within an organisation and ensuring appropriate governance and accurate and timely assurance over an AML/CTF program.



# PARTICIPATING COMPANIES

More than 5,000 companies have participated in our programs

## **ADVERTISING, INTERNET, MEDIA, PUBLISHING**

BBC Worldwide  
CNN  
eBay  
LinkedIn  
MediaCorp  
Saatchi & Saatchi  
Singapore Press Holdings  
The Financial Times  
The Hoffman Agency  
The Walt Disney Company  
Thomson Reuters

## **CONGLOMERATE**

Fraser & Neave  
General Electric  
General Motors  
Mitsubishi  
Monsanto  
Siemens AG  
Sodexo

## **FINANCIAL SERVICES, INSURANCE**

Bank of America Merrill Lynch  
AIA  
Allianz Global Investors  
American Express  
Aviva  
AXA  
Barclays Bank  
Citibank  
DBS Bank  
Deutsche Bank  
HSBC  
JP Morgan Chase Bank  
Manulife  
MasterCard  
Maybank  
Mizuho Bank  
OCBC Bank  
PayPal  
Prudential  
Rabobank  
Standard Chartered Bank  
Suncorp  
Swiss Reinsurance  
TD Securities  
Visa  
Westpac  
Zurich Insurance

## **FOOD, BEVERAGE**

Coca-Cola Beverages  
Danone  
Ferrero  
Heineken  
McDonald  
PepsiCo

## **GOVERNMENT, NONPROFIT**

Australian Securities and Investments  
Commission  
Central Provident Fund Board  
Changi Airport Group  
Economic Development Board  
GIC  
NSW Treasury  
Serco  
Temasek Group

## **HEALTHCARE, PHARMACEUTICALS**

Abbott Laboratories  
Eu Yan Sang  
Glaxosmithkline  
Hoffmann-La Roche  
Johnson & Johnson  
Merck  
Pfizer  
Sanofi

## **HOSPITALITY**

CapitaLand  
Far East Organization  
Fraser Hospitality  
Hilton Worldwide  
Marriott Hotels  
Pan Pacific Hotels Group  
Shangri-La Hotels & Resorts

## **MANUFACTURING (CONSUMER)**

British American Tobacco  
Estee Lauder  
Fonterra Brands  
Heineken  
Kimberly-Clark  
Kraft Foods  
Lego  
Mars Foods  
Nestlé  
Procter & Gamble  
Unilever

## **MANUFACTURING (INDUSTRIAL)**

Airbus  
Corning Optical Communications  
Daimler  
Harley Davidson  
Intel Semiconductor  
Rolls-Royce  
Volvo Group  
Wearnes Automotive

## **OIL & GAS, NATURAL RESOURCES**

Caltex  
Chevron  
ConocoPhillips  
ExxonMobil  
Maersk

Petronas  
Santos  
Saudi Arabian Oil  
Schlumberger  
Shell

## **PROFESSIONAL SERVICES**

AECOM  
Aon Hewitt  
Ernst & Young  
PricewaterhouseCoopers

## **RETAIL, TRADE**

Adidas  
Cargill  
DFS  
Harvey Norman  
Hennes & Mauritz  
IKEA  
L'Oreal  
Marks and Spencer  
NTUC Fairprice  
Tesco

## **TECHNOLOGY, ELECTRONICS**

3M  
Apple  
Canon  
Dell  
Hewlett Packard  
Intel Technology  
Lenovo  
Micron Technology  
Microsoft  
Oracle  
SAP  
Sony Electronics  
TE Connectivity

## **TELECOMMUNICATIONS**

Ericsson  
Nokia  
Olive Communications  
Singtel  
Starhub  
Tata Communications  
Telstra  
Verizon  
Vodafone

## **TRANSPORTATION**

Auckland Transport  
Cathay Pacific Airways  
Dubai Air Navigation Services  
New Zealand Transport Agency  
Fiji Airways  
Metro Trains Melbourne  
NSW Trains  
SBS Transit

# FACULTY DIRECTOR JASON MEFFORD'S TESTIMONIALS



“ I have attended several meetings and lectures led by Mr Mefford. I must say that his presentations, knowledge and practical have been among the best I have seen among fellow practitioners. ”

**Paul Zalle** - Founder/CEO - PMZ Consulting Services, Inc  
Former CAE/SVP/Director of Audit NC Financial Corp, Textron Inc and Avco Corp

“

Jason is an amazing facilitator with real-life experiences and insight that enable all of us to grasp complex concepts in meaningful and applicable ways. I would highly recommend attending a course with Jason and in considering him as a valuable resource in advancing programs across your organization.

”

**Colin Tong**  
Ernst & Young





## IN-HOUSE CUSTOM EXECUTIVE PROGRAMS

Clariden Global delivers custom learning programs for organizations all around the world. Whatever your business challenges are, we create focused learning experience that enables your organization to achieve success. Through partnerships with the most renowned thought leaders, industry experts and professors from around the world, these in-house custom executive programs will equip you with essential skills and capabilities to develop and implement strategies more effectively at your organization.

Engage with our thought leader today:



### **Jason Mefford**

*President*  
**Mefford Associates**

Internationally acclaimed speaker and **business coach** as well as the **best-selling author** of “Risk-Based Internal Auditing: OCEG GRC Capability Model v3.0” and has **appeared on ABC, CBS, NBC, and FOX television networks**. He is an expert on **ethics, corporate governance, risk management, compliance, GRC and internal audit** topics. He is the President of Mefford Associates, a boutique training, coaching and consulting company. His leading clients include **Cisco, American Express, Ernst & Young, KPMG, HSBC, Standard Chartered Bank, Nestle**

### **CONTACT US**



#### **PROGRAM ADVISOR**

**Gwen Yip**

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# CONTACT US

We encourage you to learn more about Clariden Global Executive Education custom and open-enrollment programs. Our staff will be happy to answer your questions and help you determine the programs work best for you and your organization.

### ENQUIRY FOR THIS PROGRAM

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### REGISTRATION & PAYMENT MATTERS

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### CUSTOMIZED PROGRAMS

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## REGISTRATION

### PROGRAM FEES

Program	1st Early Bird Fee (If payment & registrations are received by 24 April 2017)	2nd Early Bird Fee (If payment & registrations are received by 22 May 2017)	Regular Fee Per Participant
<b>Program A (19 - 20 June 2017):</b> Anti-Money Laundering, Financial Crime and Counter-Terrorism Financing	S\$2,695	S\$2,895	S\$2,995
<b>Program B (21 - 22 June 2017):</b> Internal Control, Monitoring and Risk Management for Compliance Professionals	S\$2,695	S\$2,895	S\$2,995

### 4 WAYS TO REGISTER

-  Email: admissions@claridenglobal.com
-  Fax: +65 6567 4328
-  Call: +65 6899 5030
-  Website: www.claridenglobal.com

### GROUP DISCOUNTS

Group discount of 10% for the 2nd participant from the same organization. For limited time only by 22 May 2017 register 3 participants and the 4th participant will receive a complimentary seat.

**\*One discount scheme applies.**

Booking Contact (Approving Manager) Mr/Mrs/Ms: _____ Job Title: _____ Department: _____ Telephone: _____ Fax: _____ Email: _____ Organization: _____ Address: _____ _____ Postal Code: _____ <input type="checkbox"/> I would like to receive more information on hotel accommodation using Clariden Global corporate rate.
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Please register the following participant for this seminar.  
(Please tick  to select your seminar(s). You may tick more than one.)

1st Participant Name (Mr/Mrs/Ms): \_\_\_\_\_  
 Job Title: \_\_\_\_\_ Department: \_\_\_\_\_  
 Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_  
 Email: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

Seminar(s):  Program A  Program B

2nd Participant Name (Mr/Mrs/Ms): \_\_\_\_\_  
 Job Title: \_\_\_\_\_ Department: \_\_\_\_\_  
 Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_  
 Email: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

Seminar(s):  Program A  Program B

3rd Participant Name (Mr/Mrs/Ms): \_\_\_\_\_  
 Job Title: \_\_\_\_\_ Department: \_\_\_\_\_  
 Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_  
 Email: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

Seminar(s):  Program A  Program B




4th Participant Name (Mr/Mrs/Ms): \_\_\_\_\_  
 Job Title: \_\_\_\_\_ Department: \_\_\_\_\_  
 Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_  
 Email: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

Seminar(s):  Program A  Program B

### FOR OFFICIAL USE

FEE RECEIVED	REFERENCE L7136.37/YL/AY
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### 3 PAYMENT METHODS

-  By Cheque/ Bank Draft
-  By Telegraphic Transfer
-  By Credit Card

An invoice and registration confirmation will be sent within 7 days, please contact us if you have not heard from us within 7 days. Payment details will be sent together with the invoice based on your preferred payment method.

**ALL PAYMENTS MUST BE RECEIVED IN ADVANCE OF THE EVENT.**

### VENUE AND ACCOMMODATION INFORMATION

-  Mandarin Oriental, Singapore
-  19 - 22 June 2017
-  5 Raffles Avenue,, Marina Square, Singapore 039797
-  Tel: {65} 6338 0066
-  <http://www.mandarinoriental.com/singapore/>

Accommodation is not included in the program fee but you will be entitled to use our corporate rate for your accommodation. Information will be sent along with your registration confirmation.

### CANCELLATIONS AND SUBSTITUTIONS

**\*All cancellations must be received in written form.**

Once we have received your booking, the place(s) are confirmed. No refunds will be made for any cancellations, however, program credits of equivalent value only applicable for Clariden Global events will be provided. Credits can only be redeemed for 1 program and is valid for only one (1) year from date of issue.

Substitution with a qualified candidate is allowed by providing at least 5 working days of advance notice to Clariden Global. One time substitution is allowed with no charges. Subsequent substitutions will be charged 10% admin fee.

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