

The Nevis Financial Services (Regulation and Supervision) Department will be hosting its 12th annual AML/CFT Awareness Seminar and Training Workshop on March 6th & 7th, 2017 at the prestigious Four Seasons Resort Nevis. This training is in alignment with the Department's commitment to ensure that employees of regulated entities receive the necessary training in accordance with paragraphs 131 – 134 of the Financial Services (Implementation of Industry Standards) Regulations, 2011.

The theme for this year is *“Increasing Awareness Through Smarter Compliance – Forging New Connections to Combat Financial Crime”*.

The AML/CFT Seminar and Training Workshop will be facilitated by Stephen Platt & Associates, LLP, United Kingdom with the main presenter being Mr. Stephen Platt. There will also be remarks and presentations from the Premier and Minister of Finance, NIA, the White Collar Crime Unit, the Citizenship by Investment Unit, the Eastern Caribbean Central Bank and the Regulator of Nevis Financial Services (Regulation and Supervision) Department.

Who Should Attend?

Regulatory, Prosecutorial and Law Enforcement Agencies; Government Treasury and Inland Revenue Departments and Owners, Board of Directors, Senior Management and Compliance/Reporting Officers of the following regulated entities:

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|-------------------------|----------------------------|
| ⇒Financial Institutions | ⇒Insurance Companies |
| ⇒Registered Agents | ⇒Insurance Managers |
| ⇒Credit Unions | ⇒Jewelers |
| ⇒Accountants | ⇒Gaming Operators |
| ⇒Attorneys | ⇒Lending Agencies |
| ⇒Real Estate Agencies | ⇒Money Services Businesses |

Persons or entities providing nominee shareholders, directors and secretarial services are also invited to attend.

Key Topics Include:

- 1) From AML/CFT to the facilitation of crime: The new model of money laundering prevention proposed by Stephen Platt in his #1 best-selling book ‘Criminal Capital’;
- 2) Highlights on De-risking, Correspondent Banking relationships and associated impacts on the financial services sector and the region as a whole;
- 3) Citizenship by Investment - Don't believe everything you see, hear or watch: combating perceptions of the region;

- 4) Why SARS/FIU? Taking a Deeper Dive - Typologies, timelines and what really happens if you don't file;
- 5) The “Human Factor” in financial crime prevention. Why the best systems of control are only as strong as their weakest human link;
- 6) The Governance of AML Risk in an era of Black Swan Events;
- 7) The A-Z of Sanctions Compliance;
- 8) Identifying Compliance Officers with “The Right Stuff” – How to build and keep your best people and maximise investment in compliance operations; and
- 9) “Cybersecurity and Cybercrime - This session will inform compliance and management personnel on the impact cybersecurity risks present to their regulated entities.

Panel Discussion

Representatives from various professional bodies in St. Kitts and Nevis will share with attendees their views on a number of compliance related matters on the topic:

“Leveraging compliance practices with business practices to be more effective and efficient”

Panelists will include one representative from the following professional bodies:

- ◆ Banker's and Financial Services Association
- ◆ Chartered Accountants of the Eastern Caribbean
- ◆ Attorney/Registered Agent
- ◆ Financial Services Regulatory Commission
- ◆ STEP - Nevis Chapter

Main Speaker:

Stephen Platt is Chairman and Chief Executive of the KYC360^o Technologies Group, a leading RegTech business that develops and delivers leading edge solutions for the management of financial crime risk and the enhancement of risk governance performance.

The Group supplies over 200 financial institutions globally. Stephen is a barrister and an Adjunct Professor of Law at Georgetown University in Washington D.C.

He is the author of the award-winning #1 bestselling book ‘Criminal Capital’. He consults to Stephen Platt & Associates LLP on large-scale regulatory investigations and is regarded internationally as a leading authority on the criminal abuse of financial services.

'Criminal Capital' is the first of its kind to examine the (often unwitting) role played by the financial services industry in facilitating crime and laundering criminal property by analysing the vulnerability of banks, brokerages, trust companies and investment funds to criminal abuse.

Covering the role of both on and offshore finance centres, the book also considers the limitations of the money laundering model relied upon by many regulators and finance industry practitioners to identify abusive customer relationships. The book proposes a new model of money laundering prevention and makes suggestions for the improvement of financial regulation.

Stephen Platt & Associates, LLP ("SPA") advises regulators, businesses and governments on financial regulatory matters, globally. The firm specialises in tackling the most difficult and profound issues relating to financial regulation and financial crime. SPA principally advises:

- ◆ Financial sector regulators regarding the conduct of investigations;
- ◆ Businesses which are facing or preparing to face regulatory or criminal investigation; and
- ◆ Governments, national and supra-national bodies on matters of policy relating to financial regulation and financial crime.

Testimonials:

"The workshop was professionally organized and a huge success."

"The layout of the room lends itself to a better dialogue between participants and presenters."

"Quite informative and progressive with regard to sensitizing and keeping abreast with the dynamic of money laundering."

"It has sharpened my perspective and knowledge of the duties of a compliance officer."

"Very good Workshop. Congrats."

For full workshop details, contact:

**The Nevis Financial Services
(Regulation and Supervision) Department**

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12 CAMS/CPD CREDITS WILL BE AWARDED!!



12TH ANNUAL

AML/CFT AWARENESS SEMINAR & TRAINING WORKSHOP (2017)

***"Increasing Awareness
Through Smarter Compliance –
Forging New Connections to
Combat Financial Crime"***



**REGISTRATION FEE:
USD330.00 (ECD896.00)**

Group Rate of three (3) persons or more:
USD295.00 (ECD801.00) per delegate

MARCH 6TH & 7TH, 2017

7:45AM - 4:15PM (FIRST DAY)
8:00AM - 4:15PM (SECOND DAY)

FOUR SEASONS RESORT NEVIS