

The Nevis Financial Services (Regulation & Supervision) Department

2017 AML/CFT Awareness Seminar & Training Workshop

*"INCREASING AWARENESS THROUGH SMARTER COMPLIANCE –
FORGING NEW CONNECTIONS TO COMBAT FINANCIAL CRIME"*

Date: Monday, March 06, 2017

Time: 7:45am – 4:15pm

DRAFT AGENDA

Moderator: **Ms. Vincia Herbert**

7:45 – 8:20: **Registration**

8:20 – 9:00: **Opening Ceremony:**
National Anthem – Instrumental; Invocation; Moderator’s Welcome;
Regulator’s brief remarks; Address by Minister of Finance, NIA

9:00 – 9:15: **Group Photo** (Ballroom Terrace)

9:15 – 10:15: **Mr. Stephen Platt, Stephen Platt & Associates, LLP**
From AML/CFT to the facilitation of crime. A new direction for the regulator and the regulated. The new model of money laundering prevention proposed by Stephen Platt in his #1 best-selling book “Criminal Capital” (Part 2).

10:15 – 10:45: **Coffee Break**

10:45 – 11:30: **Trevor Braithwaite, Deputy Governor, Eastern Caribbean Central Bank**
Highlights on De-risking, Correspondent Banking relationships and associated impacts on the financial services sector and the region as a whole.

11:30 – 12:15: **Citizenship By Investment Unit – Mr. Les Khan, Chief Executive Officer**
Don’t believe everything you see, hear or watch: combating perceptions of the Region.

12:15 – 1:30: **Lunch**

- 1:30 – 2:15: **White Collar Crime Unit – Inspector James Sutton**
Why SARS/FIU? Taking a Deeper Dive – Typologies, timelines and what really happens if you don't file.
- 2:15 – 3:00: **Mr. Stephen Platt, Stephen Platt & Associates, LLP**
The “Human Factor” in financial crime prevention. Why the best systems of control are only as strong as their weakest human link.
- 3:00 – 3:15: **Coffee Break/Stretch Break**
- 3:15 – 4:15: **Mr. Stephen Platt, Platt & Associates, LLP**
Group exercise
Divide into groups and examine one or more scenarios.



The Nevis Financial Services (Regulation & Supervision) Department 2017 AML/CFT Awareness Seminar & Training Workshop

***"INCREASING AWARENESS THROUGH SMARTER COMPLIANCE –
FORGING NEW CONNECTIONS TO COMBAT FINANCIAL CRIME"***

Date: Tuesday, March 07, 2017

Time: 7.45am – 4.15pm

DRAFT AGENDA

Moderator: Ms. Vincia Herbert

7:45 – 8:15: Registration

8:15 – 9:15: Mr. Stephen Platt, Stephen Platt & Associates, LLP
The Governance of AML Risk in an era of Black Swan Events.

9:15 – 10:00: Mr. Stephen Platt, Stephen Platt & Associates, LLP
The A – Z of Sanctions Compliance.

10:00 – 10:30: Coffee Break

10:30 – 11:00: Mr. Quincy Prentice (Director – Information Technology Department)
Cybersecurity and Cybercrime: The impact cybersecurity risks present to regulated entities.

11:00 – 12:00: Mr. Stephen Platt, Platt & Associates, LLP
Identifying Compliance Officers with “The Right Stuff”.

12:00 – 1:15: Lunch

1:15– 2:25: Mr. Stephen Platt, Platt & Associates, LLP
Group exercise
Divide into groups and examine one or more scenarios.

2:25 – 2:35: **Coffee Break / Stretch Break**

2:35 – 4:00: Panel Discussion: *Moderator: Mr. Laurie Lawrence*

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

- Banker’s and Financial Services Association: *Mr. Dave Ramsumair*
- Chartered Accountants of the Eastern Caribbean: *Mr. Donald Thompson*
- Attorney/Registered Agent: *Mrs. Giselle Clarke-Theron*
- Financial Services Regulatory Commission: *Ms. Karen Hughes*
- STEP Nevis: *Mrs. Shawna Lake*

4:00- 4:15: **Closing Remarks**

