

# COMPLIANCE & ANTI-MONEY LAUNDERING

Key aspects and changes  
introduced by the 4<sup>th</sup> Directive

- What are the key issues for Compliance Officers?  
What is the impact of the changes?
- Independent source of information in AML/CTF  
- what does it mean?
- Money laundering and risks deriving from professional obligations. What are the pitfalls to avoid?
- What to expect with MiFID II?
- What about the impact on the fund industry?

**Tuesday, December 6<sup>th</sup> 2016** → Luxembourg

**-100€**

EXCL. VAT DISCOUNT

ON EACH REGISTRATION  
RECEIVED BY 7 OCTOBER 2016  
(PROMO CODE: 29352EARLY)



**Amélie Bry**  
Conference Manager

**U**nfortunately, 2016 highlights a real need for improved compliance and for tackling financial crime. Under governance from the 4<sup>th</sup> EU AML Directive, applying unprecedented fines on banks, sanctions and increased risk of terrorism are just some of the obstacles to securing effective compliance function. IFE has gathered a group of relevant experts to share their methods for maintaining AML regime (against a complex regulatory landscape).

We expect that the AML and Compliance conference will guide and assist you in discussing and developing key strategic, commercial and technical issues for the banks.

We look forward to meeting you in December.

### **WHO SHOULD ATTEND THIS CONFERENCE?**

- Compliance Officers, anti-money laundering officers, insurance companies, investment funds
- Financial and legal executives
- CFOs, treasurers, legal officers
- Accountants, chartered accountants
- Administrators, presidents and managing directors
- Auditors, internal controllers, controllers
- Private banking, finance providers, insurance providers
- Lawyers and wealth managers

### **FROM THESE SECTORS**

- Accounting Firms
- Banks
- Casinos
- Consultants
- Credit Unions
- Financial Services Providers
- Insurance Companies
- Law Enforcement Agencies
- Law Firms
- Money Services Businesses
- Regulatory Agencies
- Securities/Investment
- Firms
- Software/Technology
- Providers
- Virtual Currency
- Exchangers

### **WHAT ARE THE GOALS?**

- Overview of anti-money-laundering in Luxembourg and review are under discussion
- Determine risks for business
- Debate the role of the Compliance Officers in the information exchange context

### **METHODOLOGY**

- Handout given to participants at the beginning of the conference
- Direct interactions; one-on-one contact with the experts providing the training
- Expert presentation followed by Q&A session
- If you have questions for the speakers, send them by email to [abry@efe.fr](mailto:abry@efe.fr)

# TUESDAY DECEMBER 6<sup>TH</sup> 2016

CHAIRMAN:

**Sundhevy DEBRAND**

MLRO and AML & KYC Leader

**NORDEA INVESTMENT FUNDS S.A.**

**8:45** Registration

**9:00** Welcoming Remarks

## ANTI-MONEY LAUNDERING

**9:05**

### Fight against money laundering and terrorist financing

- The 4<sup>th</sup> Directive (AMLD)
- How to prepare business?
- Applicable regulatory framework
- Issues and impacts?

**Sundhevy DEBRAND**

**9:30**

### Tools available to prevent AML-CTF risks in financial industry

- How do you protect your institution against fraud and corruption?
- The importance of independent background checks. Expert views and opinions.

**Neil HEROLD**

Director & CIO

**SQOPE S.A.**

**10:30** Coffee networking

**10:45**

### Recent developments of case-law and regulatory framework in the field of AML and lessons learned from past cases

- Bill of law No. 7020: the creation of a new tax offense 'aggravated tax fraud' and the new Article 506-1 of the Criminal Code. What about the new obligations for professionals?
- UBO register recent challenges and developments. What are the lessons to be drawn from the solutions chosen by other Member States
- Money laundering as such and risks deriving from professional obligations. What are the pitfalls to avoid?
- The review of recent Luxembourg case-law
- New tools like prepaid cards or virtual currencies: how facing the risks of money laundering that requires all due care?

**Thierry POULIQUEN**

Avocat à la Cour

**BONN STEICHEN & PARTNERS**

**12:00** Q&A

**12:15** Lunch

## COMPLIANCE

**13:30**

### New developments in the economic crime field

- Update on the main sanction regimes, including Iran and Cuba: where are we heading?

- Lessons to be learned from recent major cases: beyond the financial penalty, what about the other risks? The end of "too big to jail"?
- Tax fraud as primary AML offence: challenges faced by the financial service industry.

**Gérard ZOLT**

Country Practice Leader – Fraud Investigation & Dispute Services

**EY LUXEMBOURG**

**14:30** Q&A

**14:45** Coffee networking

**15:00**

Round table 

### What's new under MiFID II? MiFID II from compliance to a business challenge?

- What key changes will firms have to organize? What is MiFID II going to change for fees, tax and commissions? On governance? What is the role and status of the advisor?
- Transparency of costs & charges, conflicts of interest
- Phone recordings & customer contact
- Complex & non-complex products
- Reporting obligations under MiFID

**Moderator: Sundhevy DEBRAND**

**John PAULY**

Director Fund Services

**BANQUE DEGROOF LUXEMBOURG**

**Denis COSTERMANS**

Directeur Associé

**EY ADVISORY**

**Olivier CARRÉ**

Partner

**PWC**

**16:00**

Round table 

### Status update on AML/CTF for funds and professionals feedback

- On boarding client
  - What are the difficulties to know customers? Is this investor a good client for the firm? How far shall we go in terms of distributors on-boarding and clients look through?
  - How this is going to change the job of the ManCo?
- AML CTF
  - Oversight and monitoring, ongoing monitoring of distributors and investors based on risk assessment. Which oversight to be performed depending on the type of platforms?
  - What should we know about sanctions monitoring?
  - Which trends and "hot topics" in AML/CTF for funds?

**Moderator: Sundhevy DEBRAND**

**Christophe BECUE**

Conducting Officer - Governance, Compliance & Risk Management

**EASTSPRING INVESTMENTS**

**Renata HOES**

Senior Compliance Officer

**GENERALI INVESTMENTS LUXEMBOURG S.A.**

**Anna GERARDI**

Compliance Officer

**ALLFUNDS BANK INTERNATIONAL S.A**

**17:30** Q&A

**17:45** Closing remarks



# REGISTRATION DETAILS

IFE is a brand of  
**ABILWAYS**

Scan our QR code  
and visit  
our website



## Program Information

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## Information about registration

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## Fee (excl. 3 % TVA)

850 € HT

**100 € excl. VAT discount on each registration received by 7 October 2016 (Promo code: 26352EARLY)**

The registration fee includes lunch, refreshments and full course documentation.

You may pay by (please quote participant's name): transfer should be made to: BGL BNP Paribas IBAN: LU24 0030 2485 2343 0000 Code BIC : BGLLLULL, please quote EFE Luxembourg S.A.R.L. and the invoice number.

## Registration

Upon reception of your application form, you will receive your registration's confirmation. A notification will be sent to you 10 days before the training.

In accordance with the law of 02/08/02 relating to the protection of personal privacy, you may have access to these data in order to alter them or have them deleted. Our address file may be passed on, rented or exchanged with other companies. If you do not wish to receive any documents from them, please indicate your wish.

## Cancellation

Communicated in writing, cancellation gives rise to a refund or a credit note for the full amount if it is received fifteen days at the latest before the start of the training. Received later than this, the contribution amount withheld, as flat-rate compensation, will be 30% if cancellation is received 10 days inclusive before the start of the training, 50% if it is received less than 10 days before the start of the training or 100% if the Company receives cancellation less than three days before the start date.

Replacement participants are accepted at any time, free of charge. The names and details of the replacements must be communicated in writing.

## Date and venue

**6<sup>th</sup> DECEMBER 2016**

**Luxembourg**

Caution: the place of the training course is likely to be modified. Thank you to refer to the convocation which will be given 10 days before the training course

## To modify your professional data

Phone: +32 (0)2 533 10 20 - E-mail: [correctionbdd@ifexecutives.com](mailto:correctionbdd@ifexecutives.com)

You may photocopy and/or pass this form to interested persons.

- YES**, I wish to register for the conference **"Compliance & Anti-Money Laundering"** on Tuesday 6<sup>th</sup> December 2016 (code 26352)
- YES**, I register by 7 October 2016 and benefit from a 100 € excl VAT discount ((Promo code: 26352EARLY)

Should the personal details need to be changed, please mention any modifications on the form below (thank you for using CAPS). You can also send a copy of your business card.

Mr  Mrs  Ms

Name and surname \_\_\_\_\_

E-mail\* \_\_\_\_\_

Job Title \_\_\_\_\_

Training manager \_\_\_\_\_

Legal manager \_\_\_\_\_

Company \_\_\_\_\_

VAT No \_\_\_\_\_

No. of employees on your site \_\_\_\_\_

Address \_\_\_\_\_

Postcode      City \_\_\_\_\_

Country \_\_\_\_\_

Tel \_\_\_\_\_

Fax \_\_\_\_\_

Mobile nr \_\_\_\_\_

Signature: \_\_\_\_\_

