

Money Laundering in Canada 2009

Dissecting Risks to Strengthen Compliance



ABCsolutions' 2009 Money Laundering in Canada Conference has been designed to emphasize the pragmatics of Anti-Money Laundering/Counter Terrorist Financing compliance management --- with a particular focus on the concept of **risk management**.

Unable to attend?

Were you unable to attend the 2009 event in Victoria?

No problem. ABCsolutions has compiled a selection of workshops and plenary sessions that will be made available in our video archive.

Simply choose the sessions that you want and we will provide you with a DVD to access them directly from your desktop.

Miss an important session or need a refresher?

Did you attend the Money Laundering in Canada 2009 conference?

Delegates from this year's event receive savings on registration fees for archived sessions.

In addition, members of the Canadian Anti-Money Laundering Institute (CAMLI) receive a further discount on the cost to access the sessions.

The Money Laundering in Canada Broadcast Archive:

- Provides unlimited access to selected conference materials.
- Combines the value of attending a seminar with the convenience of never leaving your office.
- Allows any number of your colleagues to join you at one location, watching on the same computer screen.



www.moneylaundering.ca

Archived Session Descriptions:

Please Note: No evaluation forms were distributed during conference Plenary Sessions

Workshop 1: Managing Risk: A Two Headed Coin

Speaker: Ken Saul, Cambridge Mercantile Group, Toronto, ON

Description: Managing risk for many of Canada's reporting sector entities has come to be viewed as due diligence from two sides --- assessing the entity's own customers as to their risk for money laundering and/or terrorist financing, while at the same time responding to the entity's own service providers. This situation has created the need for an organized approach to gathering customer compliance information; assessing its quality; and making decisions about on-going relationships. Ken Saul has put in place a protocol for managing this requirement, while at the same time meeting the compliance demands of his employer's financial institution.

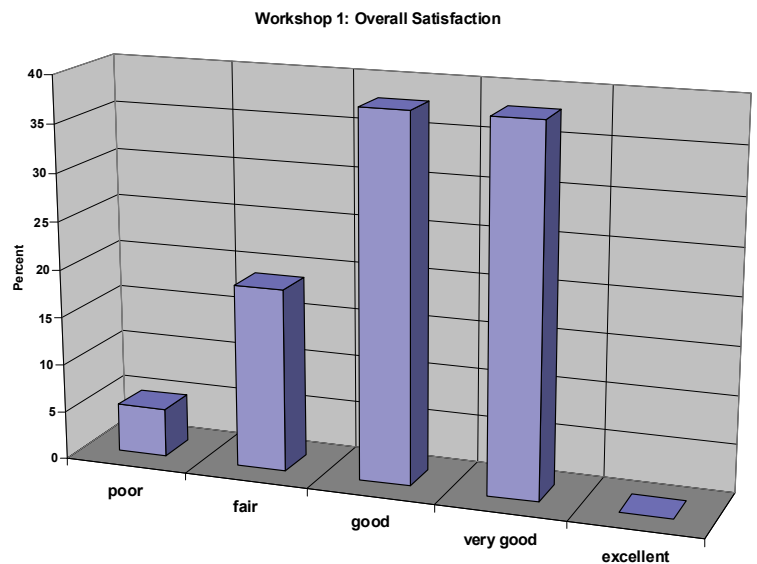
Evaluation Results:

Would you recommend this session to others as providing useful information?

Yes	86%
No	14%

Comments:

"Personal experiences were very interesting."



Plenary 2: Risk Management Programs: The FINTRAC Perspective

Speaker: Murray Dugger, FINTRAC Western Regional Office, Vancouver, BC

Description: In this session, Murray Dugger takes a closer look at Risk Management Programs in general, and discusses issues such as: What is expected of reporting entities in this area? What are some of the strengths and best practices observed as FINTRAC compliance officers undertake Review Examinations with various reporting entities? What limitations are surfacing both through the examinations and questions dealt with through FINTRAC's call centre and regional offices? Viewers should find this session both informative and helpful in verifying their own program.

Comments:

"I can see the weaknesses in my program now."

"It was great to hear what FINTRAC expects."

"I am glad to see that we are on the right track, but we have a lot of work to do."

Workshop 5: Evaluating the Effectiveness of a Risk Assessment

Speaker: Matthew McGuire, Williams McGuire AML Inc., Toronto, ON

Description: Although there is a tangible threat of money laundering in Canada, translating that threat into an assessment of money laundering risk for any given customer, product, or location can become a theoretical exercise. Theoretical because your institution may have only suspected but never confirmed a money laundering transaction. Many money laundering transactions go undetected or unconfirmed because they are designed to appear legitimate. Notwithstanding the challenges involved in a risk assessment, reporting entities have an ongoing obligation for its conduct and for the regular evaluation of its effectiveness. This session explores regulator expectations as well as strategies suitable for risk assessment authors and their auditors to evaluate their risk assessment approach and completeness; and to assess the effectiveness of measures designed to address identified risks.

Evaluation Results:

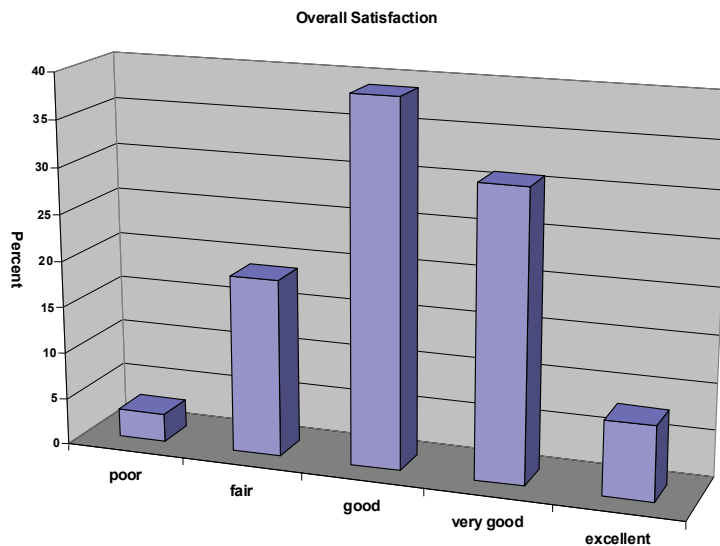
Would you recommend this session to others as providing useful information?

Yes	78%
No	22%

Comments:

“A very knowledgeable speaker.”

“A very useful and interesting session and highly entertaining.”



Workshop 7: The Compliance Review - Providing Sound Due Diligence

Speaker: Christopher Walker, ABCsolutions Inc., Smiths Falls, ON

Description: Bill C-25 established the need to undertake reviews of an entity’s compliance regime on a bi-annual basis at minimum. This requirement will now push reporting entities to put in place, or contract for, a compliance review process that examines and tests all FINTRAC expectations. ABCsolutions has been carrying out compliance reviews for various reporting sectors since 2004 and has identified the various strengths and limitations of such reviews and compliance programs. During this workshop, Chris focuses on the key elements of a meaningful review, stressing what the findings suggest about the program being examined and how to respond to those findings.

Evaluation Results:

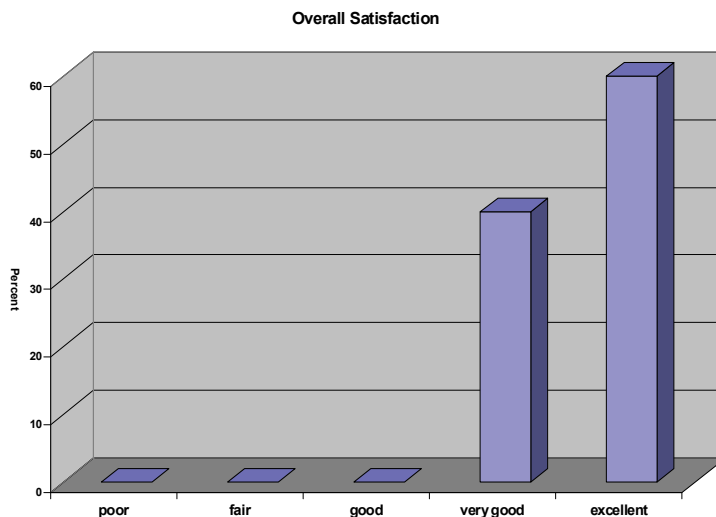
Would you recommend this session to others as providing useful information?

Yes	90%
No	10%

Comments:

“Just Right.”

“Excellent Presentation.”



Plenary 3: FINTRAC's Report Card

Speaker: Jason Sass, FINTRAC, Toronto, ON

Description: Day Two of the conference begins with a second FINTRAC presentation, providing delegates with a one-hour general report card of how reporting sectors managing the new compliance requirements. Similar updates by FINTRAC in the past have been well received. Delegates should find real value in the observed strengths and limitations in compliance regimes outlined by FINTRAC.

Comments:

“It is good to see FINTRAC starting to get tough with compliance.”

“Excellent speaker, well thought out.”

“One of the highlights of this conference is to hear the latest from FINTRAC.”

Workshop 11: The Complacency of Risk

Speaker: Horst Intscher, Private Consultant, Ottawa, ON

Description: The Anti-Money Laundering Regime introduced by the Canadian government in the *Proceeds of Crime (Money Laundering) and Terrorism Financing Act* has been in place for nearly a decade. AML compliance regimes are in nearly all businesses that are subject to the Act. The theme of this year's Conference is Dissecting Risk and Mr. Intscher discusses the risk of complacency. His remarks address that risk in relation to meeting the minimum compliance requirements of the AML regime, complacency about the ingenuity and capacities of the objects of our collective attention, and the risk of intellectual complacency in the design of our processes to detect money laundering and terrorism financing.

Evaluation Results:

Would you recommend this session to others as providing useful information?

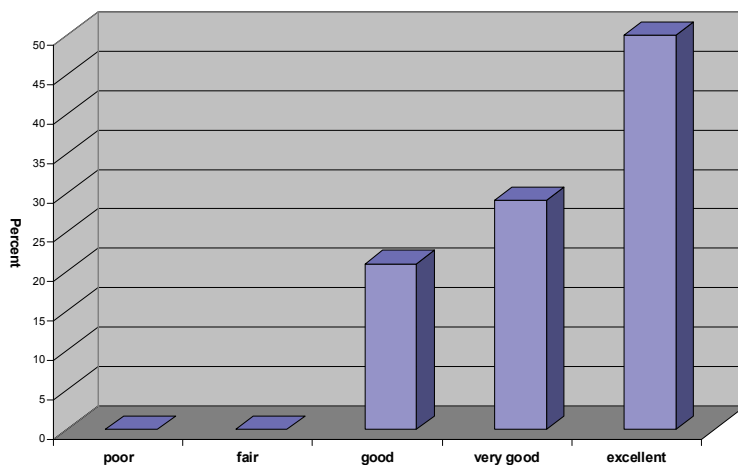
Yes	100%
No	0%

Comments:

“Very informative and valuable session.”

“Great presence and very knowledgeable.”

Overall Satisfaction



Plenary 3: The Complexity of Fraud & Money Laundering

Speaker: Jeff Filliter, Froese Forensic Partners Ltd., Toronto, ON

Description: We have brought Jeff back in 2009 to explore fraud and money laundering in greater detail. Jeff delves even deeper into the intricacies of fraud and makes the connection to money laundering even clearer. He brings new examples and case studies and expands on the red flags he initially set out in 2008.

Comments:

“Excellent real life examples that one can directly apply.”

“Presents his facts in a way that anyone can understand.”

“Mortgage fraud came to life through his examples.”

Workshop 13: Designing a Documented AML/CTF Training Program

Speaker: Marissa Ting-A-Kee, Invesco Trimark Ltd., Toronto, ON

Description: Prior to June 23, 2008, many reporting entities had training programs that were often not documented or structured. Now, every compliance regime must have a structured, written program that can be examined and reviewed as part of any scheduled compliance examination. Marissa Ting-A-Kee, representing one of the largest investment firms in Canada, has developed a comprehensive overview of what a sound AML/CTF program requires. She discusses the necessary stages, from identifying the need through to demonstrating knowledge compliance --- illustrating her comments with practical examples from her own experiences and other programs she has observed.

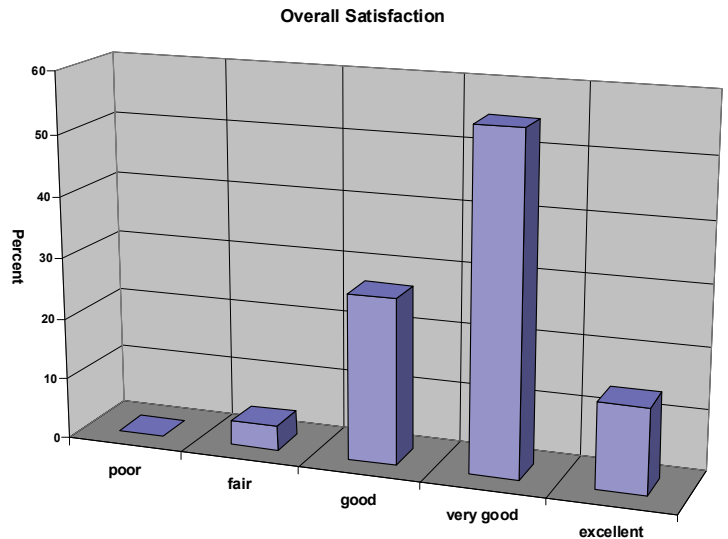
Evaluation Results:

Would you recommend this session to others as providing useful information?

Yes 95%
No 5%

Comments:

“Found this session valuable and able to apply new knowledge.”
“Job well done.”
“Excellent.”



Workshop 15: Emerging Best Practices for Managing Electronic Payment Systems

Speaker: Elaine J. Cormack, HSBC, Toronto, ON

Description: This workshop reviews the risks associated with such electronic payment methods as payment cards, stored-value cards, and mobile payments. Elaine Cormack outlines some of the best practices that have emerged for dealing with those risks, including a discussion on developing a risk-based approach for AML with payment cards. A key focus for the discussion is the prevention of prepaid cards from becoming a conduit for money launderers.

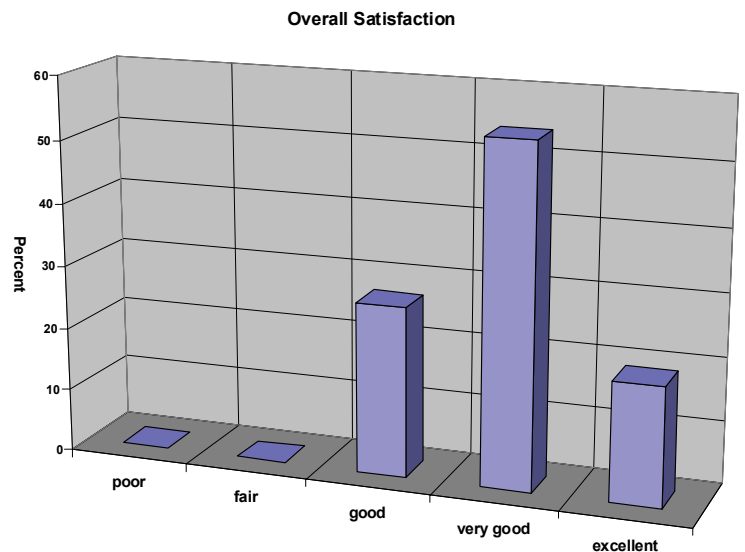
Evaluation Results:

Would you recommend this session to others as providing useful information?

Yes 96%
No 4%

Comments:

“Excellent.”
“Very informative, knowledgeable speaker.”
“Really knows her subject material.”



Choose from the sessions below. Once your selections and registration have been confirmed, you will be shipped a DVD containing your selections.

- Workshop 1: Managing Risk: A Two Headed Coin**
- Plenary 2: Risk Management Programs: The FINTRAC Perspective**
- Workshop 5: Evaluating the Effectiveness of a Risk Assessment**
- Workshop 7: The Compliance Review: Providing Sound Due Diligence**
- Plenary 3: FINTRAC's Report Card**
- Workshop 11: Risk and Complacency**
- Plenary 4: The Complexity of Fraud & Money Laundering**
- Workshop 13: Designing a Documented AML/CTF Training Program**
- Workshop 15: Emerging Best Practices for Managing Electronic Payment Systems**

Fee per selection (choose above) \$300 _____ (3+ selections @ \$200 per selection)
 Complete Conference Package \$1050 _____ (includes all 9 selections listed above)
 2009 Attendee Savings: (Minus 10%) _____ (attendees at Money Laundering in Canada 2009)
 CAMLI Member Saving: (Minus 10%) _____ [Member ID, if applicable: _____]
 GST @ 5%: _____
 TOTAL PAYMENT: \$ _____

Name of Company			
Name			
Email Address			
Phone Number		Fax Number	
Street Address			
City/Town/Province		Postal Code	

- Cheque Enclosed
 Money Order Enclosed
 Credit Card:
1. Card Type: MasterCard VISA American Express Discover [Please Print]
2. Name on Card: _____
3. Number on Card: _____
4. Expiry Date (month/year): _____
5. Signature: _____

BY MAIL:
 About Business Crime Solutions Inc.
 40 Main Street West
 2nd Floor
 Smiths Falls, Ontario K7A 1M6

BY:
 Telephone: 613 283-8822
 Fax: 613 283-8868
 Email: info@moneylaundering.ca

Please address payment to: About Business Crime Solutions Inc.