

FINANCIAL CRIME AND MARKET MISCONDUCT POST COVID-19 AND BEYOND

29 JULY 2021 | 10.00 AM - 12.00 PM



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Learning Hours: 2 hours

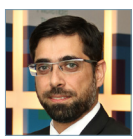


Fees: MYR 350 (fee is not inclusive of 6% SST)

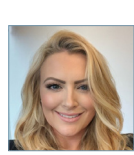


CPE Points Earned: 5 CPE Points

MODERATOR



KHURRAM PIRZADA
Executive Director, AML and Sanctions Services, KPMG Malaysia



OONAGH VAN DEN BERG
Founder and MD, RAW Compliance



YUNOS YUSOP
Head, Group AML/CFT & MLCO, Affin Bank



VIJAYARAJ R KANNIAH, BKT
Director cum Principal Trainer, Vision Business Solutions Sdn Bhd



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PROGRAMME OVERVIEW

Financial crime and market misconduct are evolving over time and with the current uncertainties brought upon by the Covid-19 pandemic, there are a rising number of individuals seeking to exploit this situation. According to a study by the Securities Commission Malaysia in 2020, there were 498 individuals suspected of misconduct between 2010 and 2018.

Regulators are constantly looking for ways to monitor and prevent these unlawful activities as the criminals are actively changing their tactics to stay ahead of the game. The activities cover a broad spectrum and threatened the safety and soundness of the financial systems. Hence, it is incumbent upon organisations and businesses to stay updated and well prepared in detecting latest financial crimes and market misconduct activities to safeguard their businesses and assets.

PROGRAMME OBJECTIVE

This programme will provide insights into the latest development on financial crime and market misconduct particularly post the Covid-19 pandemic. The programme will also deliberate on important aspects of financial crime and market misconduct such as the size of transactions, complex network involved, potential red flags that organisations need to be aware of and eventually the impact and risks it has towards businesses.

ICF COMPETENCY LEVEL

- Foundational (Regulatory) – Anti-Money Laundering (Proficiency Level 3)
- Core – Risk Management (Proficiency Level 3)
- Functional (Technical Skills) – Digital Technology Application (Proficiency Level 2)

LEARNING OUTCOMES

Upon completion of this programme, participants will be able to:

- Describe current landscape of financial crime and market misconduct pre/post Covid-19
- Identify common areas of financial crime and market misconduct and red flags
- Describe the use of advanced technology in detecting potential misconduct
- Analyse the impact of financial crime and market misconduct towards an organisation and the risks involved
- Discuss applicable methods in establishing the measures to curb financial crimes and strengthen the defense within an organisation consistent with the laws and regulations

WHO SHOULD REGISTER?

Individuals

Compliance Officers, Risk Management Officers, Audit Officers, Sales and Trading Officers, Settlement Officers, C-Suites, Lawyers, Accountants, Corporate Consultants, Capital Markets Services Representative's License Holders, Financial Controllers, Head of Compliance, Head of Legal, Head of IT

Companies

Public Listed Companies (PLCs), Legal Firms, Consultancy Firms, Accounting Firms, Fund Management Companies, Stockbroking Firms, Investment and Commercial Banks

WHAT WILL YOU LEARN?

Financial Crime and Market Misconduct Post Covid-19 and Beyond

Outline

- Current landscape: Crackdown of financial crime and market misconduct
- Financial crime network and size
- Common areas in which financial crime and market misconduct may arise, flourish and potential red flags
- Use of Artificial Intelligence (AI) and Machine Learning in detecting suspicious behaviour and/or transactions
- Impact and risks to business operations and reputation - Case examples
- Challenges in addressing financial crime and market misconduct
- Effective measures and controls in strengthening the defense in accordance with the regulatory requirements

Moderator

- Khurram Pirzada** Executive Director, AML and Sanctions Services, KPMG Malaysia

Panellists

- Oonagh Van Den Berg** Founder and MD, RAW Compliance
- Yunos Yusop** Head, Group AML/CFT & MLCO, Affin Bank
- Vijayaraj R Kanniah, BKT** Director cum Principal Trainer, Vision Business Solutions Sdn Bhd

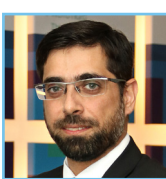
Recommended Learning Hours:

2 hours / 5 CPE points / Pre & Post Assessments

Methodology:

Discussions / Case studies

MODERATOR



KHURRAM PIRZADA

Khurram Pirzada, a Certified AML Specialist ("CAMS") had initially joined KPMG in Hong Kong and is now permanently based in Malaysia. Khurram has two decades of experience with more than 11 years of working experience in the Banking Sector across various jurisdictions with extensive exposure to AML/CFT, Sanctions, Regulatory Compliance, Risk Management, Trade Finance business and Operations.

Prior to joining KPMG, he was the Chief Compliance Officer at a Hong Kong based bank (subsidiary of a Swiss bank) for eight years. In that capacity, he supervised the AML/CFT compliance management programme, designed and implemented policies and procedures, supervised and conducted compliance reviews of branches, prepared reports and provided staff training on latest regulatory developments.

Since joining KPMG in 2015, Khurram has led various engagements relating to institutional ML/TF risk assessment, AML reviews and Gap Assessments, Customer Risk Assessment framework, CDD periodic review and remediation as well as Transaction Screening and Monitoring Systems review for a wide range of clients across various industries.

Khurram is an avid speaker and has presented in various countries at multiple forums, conferences, seminars and workshops and conducted trainings for Board and Senior Management regarding AML/CFT trends and developments. Lately, Khurram has been presenting to various banks, insurance companies, e-wallet and other companies on topics relating to AML/CFT, Sanctions, CDD/EDD, TBML, Identifying Red flags, Risk Management and Operational Controls.

PANELLISTS



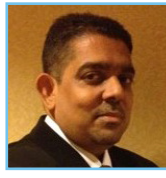
OONAGH VAN DEN BERG

Oonagh is an industry award-winning Compliance Officer based in Hong Kong, with over 19 years of experience in law and regulation, and a mother of two.

She is recognised as a global compliance industry leader in promoting innovation, improved culture and providing access to affordable thought-provoking compliance training opportunities.

She is the founder of RAW Compliance, a global compliance social enterprise, which provides free webinars, masterclasses, training and mentoring programmes to the compliance community. She is also the Managing Director of the global compliance consultancy firm Virtual Risk Solutions VRS, which supports FinTech and Crypto firms with regulatory licensing and the development of innovative, streamlined, agile and automated compliance risk frameworks.

Passionate about improving risk typology detection on socially imperative issues such as Human Trafficking, Modern Day Slavery and Illegal Wildlife Trading, she is also involved in various industry working groups and public-private partnerships.



YUNOS YUSOP

Yunos is currently the Money Laundering Compliance Officer (MLCO) & Group Head of Anti-Money Laundering/Combating the Financing of Terrorism (AML/CFT) Compliance in one of the well-respected local banking groups. He has

over 20 years of experience in the financial industry, which includes working on Risk Management projects with Bankers Trust of London (BT), Arthur Anderson, AT Kearny and other major consultation firms. He has also gain priceless experiences managing and combating internal & external fraud while working with a Retired Deputy Director of CID, Royal Malaysia Police. He was one of the founding members for Group Anti-Money Laundering and Counter Financing Terrorism office for a leading universal banking group in the region. He then served in the Fraud Intelligence Department and Forensic Services. He was a former Head of Compliance & Head of AML/CFT with a foreign bank in Malaysia. He has trained thousands of employees in the area of AML/CFT & Fraud Mitigation and has been a guest speaker for international conferences & seminars.

He holds a B.Economic (Hons), B.Jurisprudence (Law), an MBA (Finance) from Ecole Supérieure de Gestion, Paris (Paris Graduate School of Management), a renowned business school in France, and the prestigious certificate in Internal Auditing for Financial Institutions (CIAFIN) awarded by Institute Banker Malaysia. He also holds the Advanced Certification in AML/CFT (IBBM and ICA) and an International Diploma in AML (Distinction) from the International Compliance Association (ICA) in association with University of Manchester Business School (MBS). He is a Member of International Compliance Association (MICA), Associate Member of Asian Institute of Chartered Bankers (AICB) and Associate Member of Malaysian Association Certified Fraud Examiners (MACFE). He is a Certified Professional Trainer by the Malaysia Institute of Management (CPT-MIM) and has completed the Train The Trainer (TTT) programme by The Human Resources Development Fund (HRDF) Malaysia.

In recognition for his efforts for promoting fraud awareness and AML/CFT compliance programme to corporations in Malaysia, he was appointed as the Research Fellow of Institute of Crime & Criminology (ICC) at Help University in 2011. He is a past Member of Fraud Risk Committee in The Association of Banks in Malaysia (ABM) and other fraud committee within the fraternity of financial services. In Jan 2017, he was appointed as the Alternate Chairman to the Compliance Group (CONG), a compliance networking group under Asian Institute of Chartered Bankers. He is currently the Director of Training for MACFE and EXCO for Transparency International (TI-M). In January 2018, Asian Banking School appointed him as an Examiner & Trainer for Certified Anti-Money Laundering & Counter Financing of Terrorism Compliance Officer (CAMCO).



VIJAYARAJ R KANNIAH, BKT

Vijayaraj R Kanniah, a double scholar, is the Director cum Principal Trainer of Vision Business Solutions Sdn Bhd and a Managing Partner of Messrs Sheila Hussain Vijay & Partners, a law firm specialising in conventional & Islamic banking, conveyancing, anti-money laundering & counter terrorism financing and corporate governance.

Vijayaraj was admitted as an Advocate & Solicitor of High Court of Malaya. He advises clients who are banks, financial service providers, enforcement agencies and corporations within the region, on areas of credit, banking operations, corporate governance, anti-money laundering & counter terrorism financing and other legal compliance.

Vijayaraj holds a Master of Laws (LLM) from University of Malaya and three other degrees, namely, Bachelor of Law (LLB) from University of London, Bachelor of Social Science from University Science of Malaysia and ICSA from Malaysian Institute of Chartered Secretaries & Administration. He also holds an International Diploma and Advance Certification in AML/CFT (Distinction) by International Compliance Association with collaboration from University of Manchester Business School. He is currently pursuing his Doctor of Philosophy (PHD) in Finance & Banking (Money Laundering) at one of the esteem University in Malaysia.

Vijayaraj's other professional qualifications includes Certificate in Legal Practice, Certified Credit Professional, Certified Credit Professional – Islamic, Certificate in Life Insurance & Investment Link.

Vijayaraj is the author of the book titled "Battling Money Laundering & Terrorism Financing in Malaysia". He is also the contributor to the book titled "Foundation In Anti-Money Laundering and Counter Financing of Terrorism". Vijayaraj is the study manual writer for "The Certified Anti-Money Laundering / Counter Financing of Terrorism & Regulatory Compliance Officer", (CCO), which is a partnership certification program with University Malaysia Sabah Centre for Professional Development (UMS ~ CIPD).

Prior to practicing law, Vijayaraj was a banker for 12 years with a number of large banking groups in Malaysia with extensive exposure in banking operations, commercial and corporate lending. He was recently conferred "Bintang Khidmat Terpuji" (BKT) from the Governor of Malacca for his contributions on various areas to the state & country.

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*The SIDC reserves the right to amend the programme as deemed appropriate as without prior notice.

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