



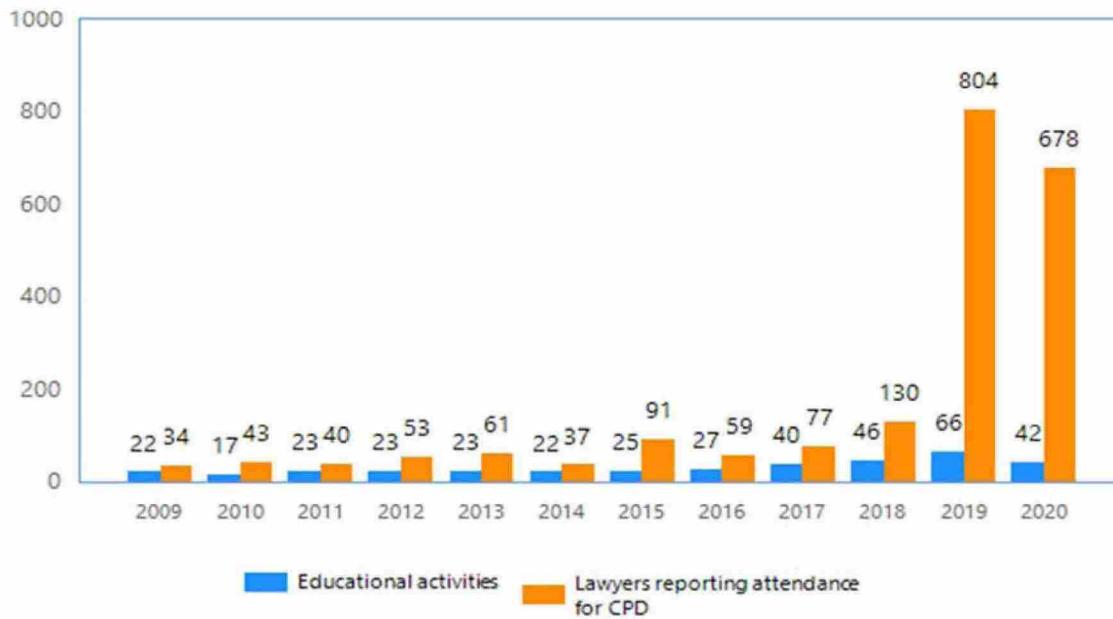
Briefing note

Prepared for: Cullen Commission of Inquiry into Money Laundering in British Columbia

Dated: October 7, 2020

Since the introduction of the continuing professional development (CPD) requirement in 2009, the Law Society has maintained a record of educational activities approved for CPD credit. Based on the descriptions of those educational activities recorded in the Law Society database, we have identified 376 courses, conferences, symposia, programs and other educational activities that have involved some degree of information or education about anti-money laundering.

The following chart illustrates the number of educational activities with an AML component that have been recorded for CPD since 2009, as well as the number of lawyers who have applied for and obtained CPD credit in relation to those activities. The 2020 figure is current to October 7, 2020. The actual number of lawyers and law firm staff in attendance may have been greater. A lawyer may choose not to report their attendance for CPD credit if they have already satisfied their CPD requirement for the year. For example, although only 126 lawyers have claimed CPD credit for attending the Law Society's Anti-Money Laundering Measures Webinar in 2020, this program has been viewed approximately 1,745 times online.



The AML-related course with the highest number of lawyers requesting CPD credit was the CLEBC Anti-Money Laundering - Client Identification and Verification Rules Program, for which 598 lawyers claimed CPD credit, followed by the CLEBC CLE-TV: Anti-Money Laundering for Lawyers and Law Firms Program with 161 lawyers requesting CPD credit.

The following appendix provides a list of these educational activities, excerpts from course descriptions, and the number of lawyers claiming CPD credit for each activity.

Year	Course	Course Description (Excerpt)	# Lawyers claiming CPD
2009	14th Annual International Tax & Trusts Training Course	<p>TAX AND TRUST TRAINING COURSE</p> <p>14th Annual International Tax & Trusts Training Course 27 & 28 August 2009 Hong Kong</p> <p>Thursday, 27 August 2009 Sessions Speakers:</p> <p>09:00 – 11:00 Recent Developments Affecting The Private Banking Industry In Key Jurisdictions</p> <p>With speakers from the various jurisdictions to update us on the latest and most interesting developments, this session will take us on a whirlwind tour of the world, stopping at Asian jurisdictions like Japan, China, Taiwan, Hong Kong, Thailand, Malaysia, Indonesia, Philippines, Australia, Singapore and India, and then sweeping over to the US, UK, Canada, Europe and the offshore centres. Chair: Michael Ole (Hong Kong)</p> <p>[...]</p> <p>14:15 – 15:15 Breakout Sessions (Part I)</p> <p>Alternative A: Global Transparency – Is Secrecy Dead?</p> <p>The panel will explain recent trends in the erosion of secrecy and increases in compliance obligations, from both tax and money laundering aspects, both in Asia and elsewhere, and will analyse the implications for wealth managers and their clients. What do the recent announcements by tax havens in response to the OECD's demands really mean? What is likely to happen? The session will also explain the OECD standards for information exchange and how they will apply in practice. Chair: Philip Marcovici (Zurich)</p> <p>[...]</p> <p>Friday, 28 August 2009 Sessions Speakers:</p> <p>09:00 – 10:00 Keynote Presentation: Understanding, Pricing And Managing Risk: Issues For Financial Institutions, Trust Companies And For The Individuals Involved</p> <p>Recent events have highlighted risks associated with wealth management that are not always well understood. These risks are associated with failures in investment performance and with being a "deep pocket" when third parties fail, whether due to fraud or otherwise. Other areas of risk include the offering of fiduciary services, such as trusts. Growing tax enforcement and exchange of information is highlighting yet another important area of risk, being the question of how the tax problems of clients can become problems of private banks and trust companies. A related risk is in respect of the cross-border distribution of financial products and services. This session will outline how, strategically, banks and trust companies can better understand, price and manage risk in these areas, and will also touch on the increasing number of global financial institutions reconsidering whether they should be in the business of offering trust services and, if so, under what</p>	1

		<p>conditions. Why trustees have a higher level of risk in the tax area will be discussed, with specific examples of some of the immediate danger areas for trustees. How risk issues affect the value of a financial institution and of assets under management or administration will also be discussed, as will the growing number of "toxic" private banking and trust franchises that can no longer find buyers.</p> <p>Also addressed will be the importance for individual employees in the wealth management industry to understand their personal risk, and how little an employer is really able to do to protect employees when problems develop. More and more, each individual is well advised to adopt a personal code of conduct to avoid having the problems of their employers or clients become their problems.</p> <p>The session will end with a suggested strategy for wealth managers seeking to address risk through a focus on compliance while using global developments to build business. Philip Marcovici (Zurich)</p> <p>Paul Stibbard (London)</p> <p>[...]</p>	
2009	2009 Information Session on Anti-Money Laundering and Anti-Terrorist Financing	For several years, the Office of the Superintendent of Financial Institutions Canada has put on an Information Session dealing with anti-money laundering and anti-terrorist financing for federally regulated financial institutions. This year the Information Session is being held in Toronto and OSFI will not be providing satellite feeds outside Toronto. In their invitation to the Information Session, OSFI states that they will be focusing on the obligations of federally regulated financial institutions and the impact of OSFI's Guideline B-8.	2
2009	5th annual symposium on money laundering	Update on the law of money laundering and proceeds of crime	2
2009	Accounts and Accounting for Attorneys	The interactive course presentation was conducted by Ms. Pamela Greyson and held at the Bermuda Insurance Institute in the City of Hamilton. The course focused on the use and interpretation of accounts and financial statements, and included matters regarding anti-money laundering obligations, client identification requirements, and practice management and ethics.	1
2009	Anti money Laundering	New requirements designed to contribute to the fight against money laundering and terrorist financing are critical to managing clients and maintaining professional responsibility. Session discusses changes to firm precedents and procedures in respect of anti money laundering legislation.	1
2009	Anti Money Laundering Course FEV (I) 2008v2	The Firm has adopted global procedures to combat terrorist financing and money laundering and to comply with relevant laws including the Third EU Money Laundering Directive. These procedures must be followed by all attorneys and other employees of the Firm. Failure to do so may result in personal criminal liability and disciplinary action. One relevant requirement is that appropriate Shearman & Sterling personnel undertake anti-money laundering ("AML") training so that they are aware of the laws on anti-money laundering and are able to recognize and deal	1

		with transactions which may be related to money laundering.	
2009	Anti Money Laundering Fee Earner Online Training Course	The course discussed issues to look out for when taking on new clients/matters from an anti-money laundering point of view including the discussion of signs of anti-money laundering activities, how to identify them and how to report them.	1
2009	Anti-Money Laundering Course 3.0	This course, including tests at the end of each of the 5 sections, is aimed at familiarising lawyers with the anti-money laundering compliance obligations of solicitors under the SRA and FSA rules. It also deals with international anti-money laundering requirements, requirements for internal disclosure obligations, anti-tipping provisions and "know your client" obligations.	1
2009	CBA Canadian Legal Conference in Dublin: CCCA - GLOBAL ANTI-CORRUPTION COMPLIANCE	Companies that do business internationally face a complex set of rules and obligations with respect to anti-corruption compliance. One key area of anti-corruption compliance involves bribery, wherein specific requirements are set out in legislation such as the U.S. Foreign Corrupt Practices Act, the Canadian Corruption of Foreign Public Officials Act and other regional anti-corruption and anti-bribery laws. Another important element of any anti-corruption compliance program is how to respond to instances of money laundering, embezzlement and cross-border fraud, whether uncovered through financial controls and processes, audit committee reviews or in the course of an insolvency administration. In this panel session, you will examine cases of fraud where assets or the proceeds of asset liquidation have been removed from the country of origin, including insights into which jurisdictions are problematic to deal with, common transnational techniques used to defraud the legitimate claims of creditors, patterns of activity that are red flags for fraud or theft within an organization and the role of corporate counsel in the prevention of money laundering, fraud and other financial crimes – as well as practical tips for developing and implementing robust anti-corruption compliance programs. You will learn about developing clear and effective internal controls to protect your personnel abroad from running afoul of global and regional anti-bribery laws, including insights into harmonizing domestic and foreign anti-corruption compliance obligations and the challenges companies face in international and emerging markets.	6
2009	Client Care and Regulatory Compliance Training	A review of client care and practice management procedures including regulatory compliance (Solicitors Regulation Authority) and anti-money laundering procedures.	1
2009	Compliance	The course was an in-house course presentation by Mr. Brian Calhoun, Group Compliance Manager at Conyers Dill & Pearman. The course focused on the new framework of Bermuda's anti-money laundering and counter terrorist financing regime under the Proceeds of Crime (Anti-Money Laundering And Anti-Terrorist Financing) Regulations 2008 and the Proceeds of Crime Regulations (Supervision and Enforcement) Act 2008.	1

2009	IFCs: recent financial regulation and the information exchange initiatives	Mr. Richard Hay, an international tax lawyer and the head of the London Private Capital Group of Stikeman Elliott, gave a lecture regarding financial regulation and the information exchange initiatives conducted by the OECD, EU, the Financial Action Task Force on Money Laundering and the IMF. Mr. Hay also discussed the International Financial Centres Forum, an organisation providing information about the changing role of International Financial Centres in the global economy and related legal issues.	1
2009	Investigations-recognizing fraud risks and conducting investigations	To assist participants to better understand fraud red flags, fraud risk management, how to handle related internal and external investigations and criminal aspects. Course outline : Current climate Fraud red flags and fraud risk management Conducting investigations - FCPA issues, false accounting, anti-money laundering Regulatory implications and legal professional privilege Criminal aspects - handling police and ICAC enquiries, dealing with search warrants	1
2009	Money Laundering & Proceeds of Crime in Hong Kong	Money Laundering & Proceeds of Crime in Hong Kong	1
2009	Money Laundering and Compliance issues.	A review of money laundering and compliance requirements domestically and internationally. [...]	1
2009	Money Laundering Training Program	Advanced training course for legal and compliance officers within HSBC companies worldwide. Course topics included definitions of money laundering and terrorist financing. Case studies of money laundering and terrorist financing activities. Understanding local and international sanctions. [...]	1
2009	Pushing the Brown Envelope	Lecture and group discussion session on anti-corruption issues and lawyers' responsibilities to report suspected money laundering activity to relevant authorities.	1
2009	Risk Management Education - Anti-Money Laundering	The course was highly participatory in approach, mixing lectures with case studies and practical excises to enable lawyers to have sufficient awareness of the international and the local anti-money laundering regulatory framework. It helped lawyers to ensure that they understand and comply with local laws and regulations. It also helped lawyers to prepare for future evolution as money laundering activities continue to become more sophisticated.	1
2009	Risk Management Education Programme Elective Course - Anti-Money Laundering	Course objective: Money laundering is currently the focus of global international cooperation between most national governments. There are several international conventions and agreements covering this area. Hong Kong is an active participant in international initiatives because, as a major international centre for financial business, it needs to participate and be seen to participate pro-actively in the international effort. The AML regulations and laws affect law firms in	2

		<p>particular because they are specifically named in the FATF recommendations as being potential conduits by which criminals and terrorists might find routes to launder large sums of money.</p> <p>Module: Provides an overview to enable lawyers to have sufficient awareness of the International and Local AML Regulatory framework Will help firms ensure that they understand and comply with local laws and regulations Will help firms prepare for future evolution as money laundering activities continue to become more sophisticated</p> <p>Approach: The course is highly participatory in approach, mixing lectures with case studies and practical exercises to explore risk management in an interactive manner that will resonate with day-to-day practice.</p>	
2009	Risk Management Elective Course - Anti-Money Laundering	This is a risk management elective course on anti-money laundering covering the OECD FATF forty recommendations, risk mitigation and control and a workgroup exercise on measures to deter, detect and report possible money laundering activity in the firm.	1
2009	The Independence of the Bar and if it Matters	<p>The Independence of the Bar and if it Matters</p> <p>Security, terrorism, life, torture, liberty, the rule of law, the independence of the bar. Is the independence of the legal profession truly an indispensable society? Is the independence of the bar a self-serving myth of a monopolistic profession or is it genuinely at the heart of what justifies the profession's role in the administration of justice. Is the independence of the bar at risk of being lost and what difference, if any, would it make? The Chief Justice of Ontario's twelfth colloquium on the legal profession examines the reality of the independence of the bar and if it matters.</p> <p>Roy Millen's presentation was on Money Laundering Legislation, Securities Regulators, and Other Intrusions on the Independence of the Bar.</p>	1
2009	Wills & Estates and Wealth Preservation - Study Group	<p>Archived Webcasts:</p> <p>[...]</p> <ul style="list-style-type: none"> - Liens and Holdbacks: Let's Talk Construction Law [...] - Offshore Trusts: Wills, Estates and Trusts Conference [...] - S.8: Search of Premises: Criminal Law and the Charter 2009 - Dirty Money in the Securities Industry: Money Laundering and Proceeds of Crime - Lawyers and Clients Part 2: Transactions: Money Laundering and Proceeds of Crime - Client Identification and Verification: How to Manage the Law Society of British Columbia's New Rules: Advanced Securities Law 2009 	5
2010	2010 ACFE Canadian Fraud Conference	* Testifying as an Expert Witness in the Canadian Judicial System	1

		<ul style="list-style-type: none"> * Bikers and Big Bucks: Organized Financial Crime in Canada * Purchasing Fraud: Are You Furnishing a Fraudster's Home? * Electronic Evidence and Forensic Investigations * Managing the Business Risk of Fraud * Birds of a Feather: Ponzi, Brost and Sorenson * Preparing and Dealing with Investigation by Outside Authorities * How the Inability to Deal with White-Collar Crime Has Impacted the Financial Services Industry * Fraud and Money Laundering: What's the Connection? * International Venture Capital Fraud: Penny Stocks to Insider Trading * The \$100-Million Piece of the Pie * No Ethical Borders 	
2010	2010 Business Law Section Spring Meeting	<p>This CLE program will cover recent case law and practitioner perspectives on how to limit sellers' contractual and extra-contractual liabilities in M&A transactions, including: how to protect the seller through the auction and negotiating processes, the intersection of fiduciary duties and deal protections and exclusive remedy and extra-contractual representation waiver provisions.</p> <p>[...]</p> <p>A panel will provide a comprehensive, practical examination of current trends in identity theft techniques, detection, and prevention. Panelists will address problems victims experience with financial institutions, financial institutions' best practices for fighting identity theft and assisting victims, and lessons learned from attorneys who provide direct services to victims.</p> <p>[...]</p> <p>The program will focus on the Voluntary Good Practices Guidance for Lawyers to Detect and Combat Money Laundering and Terrorist Financing, which was developed by the ABA and other groups. Presenters also will provide an overview of international and U.S. AML laws, recent guidance on and proposed changes to federal AML regulations, and the federal government's enforcement of AML laws.</p> <p>[...]</p>	4
2010	9th Annual Forum on Anti-Money Laundering	<p>Combatting money laundering and terrorist financing is not only a regulatory responsibility. Increasingly, it is part and parcel of protecting your organization from fraud as well as reputational risk. Yet the costs can be high, particularly in the current economic climate.</p> <p>The Canadian Institute's Forum on Anti-Money Laundering has a strong record of delivering the practical, unbiased information you need in this challenging area. This year's program includes:</p> <ul style="list-style-type: none"> * An update on the administrative monetary penalties that have been available to regulators since late December 2008 * A Q&A session following the regulators' panel 	1

		<ul style="list-style-type: none"> * Valuable information about U.S. and global trends that may have an impact in Canada * Case studies in law enforcement * Tips on managing the difficult operational realities of risk-based assessment * A new session on compliance for insurers and investment companies * Practical advice on meeting your training obligations <p>and much more!</p>	
2010	Anti Money Laundering	Covered the firms and the England Wales law society anti money laundering legal and professional standards-tested course	1
2010	Anti-Money Laundering	Professionally produced on-line course on anti-money laundering, client identification and verification developed for the firm for all its offices and approved by the Solicitors Regulatory Authority in the UK.	1
2010	Anti-Money Laundering & Terrorist Financing for Securities Professionals	This course provides insight and understanding into money laundering and terrorist financing and steps that can be taken to detect and combat it. You'll gain an overview of relevant Canadian regulations, general laundering techniques and techniques of specific concern to the securities industry. You'll learn about preventative measures used to design and implement a compliance regime against money laundering and terrorist financing.	1
2010	Asia Regulatory Group Roundup 2010	A conference presented by a group of Clifford Chance lawyers on the EU AIFM Directive, US Administration Proposals, RMB Funds, Developments in capital markets infrastructure CCPs and dark pools, Securities and Futures Commission (Product Codes and Code of Conduct), Anti-Money Laundering, Professional investors, Enforcement round-up (Asia ex Hong Kong).	2
2010	Compliance: Recent changes to anti-money laundering legislation	The lecture was an in-house course presentation by Mr. Brian Calhoun, Group Compliance Manager at Conyers Dill & Pearman. The course focused on recent changes to Bermuda's anti-money laundering and counter terrorist financing legislation.	1
2010	Consequences of Non-Compliance in the Securities Industry	With the myriad of applicable securities laws and regulations, the risk or potential for non-compliance can be high and the consequences of compliance failures can be significant. The provincial securities commissions and various SROs regulate the securities industry, but many other federal and provincial laws also apply (i.e., legislation regarding money laundering and terrorist financing and privacy). In addition, firms must have their own policies and procedures for operating and supervising their businesses because without clear policies, procedures and supervision IAs may be left to rely on their own judgment or interpretations, which may expose firms to significant risk. This course reviews potential IIROC disciplinary proceedings that may arise when a client files a complaint against an IA and looks at the primary sources of regulatory and compliance obligations and their Administrators, civil law	1

		<p>obligations and criminal law obligations. It also provides a general overview of potential penalties that may arise from breaches of the rules with the focus on regulatory breaches by IAs.</p>	
2010	Emerging Criminal Activity in Virtual Worlds	<p>The Conference was led by Gareth Sansom, Director of Technology and Analysis of the Criminal Law Policy section of Justice Canada. He discussed the nature of virtual worlds, and the emerging use of them to perpetrate fraud, theft of intellectual property, money laundering, and other crimes. He also discussed the challenges that these new fora for crime pose to both domestic and international law.</p>	1
2010	ICCA 2010 Congress in Rio, Brazil	<p>Review of current issues in International Commercial Arbitration. [...]</p> <p>26th May 2010:</p> <p>9:00: Arbitration Advocacy and Constitutional law: Fundamental rights are playing an increasing role in international arbitration. Constitutional law has been the traditional means for enforcing such rights under domestic law, but on occasions these procedures are put to a use that has strategic motives rather than the genuine protection of rights. The challenge of arbitral awards on constitutional grounds or the abuse of habeas corpus are among the new issues that need to be examined in this light. The primacy of domestic law under the Calvo Clause has also on occasions been invoked in the context of constitutional developments. Norms concerning public policy, national and transnational, are beginning to appear more frequently in both commercial and investment arbitration.</p> <p>This session reviews these developments, and considers how issues of constitutional law and transnational public policy might be used effectively by advocates as sources of norms in international arbitration.</p> <p>a) Fundamental rights and international arbitration. Arbitral awards and constitutional law.</p> <p>b) The Calvo clause: rhetorical relic or timeless aspiration?</p> <p>c) The ‘international’ administrative contract and arbitration.</p> <p>d) Compliance with local legal requirements.</p> <p>e) The role of transnational public policy. Corruption and money laundering in commercial and investment relations.</p>	1
2010	Interprovincial Forum on Organized Crime	<p>2010 INTER-PROVINCIAL FORUM ON ORGANIZED CRIME [...]</p> <p>New Developments in Money Laundering</p>	1

		<p>3:00 p.m. to 4:00 p.m. Yves Paradis Chief Crown Prosecutor, Proceeds of Crime</p> <p>Erin McKey Senior Counsel, Criminal Law Policy Section</p> <p>Supt. Eric Mattson OIC Financial Crimes, R.C.M.P. "K" Division</p> <p>Sgt. Stephen Scott Calgary Integrated Proceeds of Crime, [...]</p>	
2010	Know Your Client Rules	This session helps to prevent money laundering, terrorism, fraud and other illegal activities. This session is central to this and must be followed by every member of the firm. This course reviews the rules that must be complied with whenever a new client matter is opened. This is part of BLG 101 and is designed for all first-year associates and lateral hires.	2
2010	Money Laundering	Peter Roberts, head of our Litigation Group, will provide an overview of the Proceeds of Crime (Money Laundering) and Terrorist Financing Act.	19
2010	Protecting Against Money Laundering	Protecting Against Money Laundering	4
2010	Risk Management Education Programme - Elective Course (Anti-Money Laundering)	<ul style="list-style-type: none"> - provides an overview to enable lawyers to have sufficient awareness of the International and Local AML Regulatory framework - will help firms ensure that they understand and comply with local laws and regulations - will help firms prepare for future evolution as money laundering activities continue to become more sophisticated 	1
2010	Winter Symposium	<p>The course reviews recent developments in the Canadian regulatory structure applicable to brokerage firms and investment advisors. The sessions include the following topics:</p> <p>[...]</p> <p>IIROC Update - The industry regulator will provide an update on new and upcoming regulatory initiatives</p> <p>Anti Money Laundering - The compliance guidance issued by IIROC and the Industry Association will be discussed. In particular it will provide guidance on how brokerage firms should adjust their compliance programs to comply with the legislation based on their particular business models</p> <p>[...]</p>	1
2011	10th Annual Forum on Anti-Money Laundering	<p>Complying with anti-money laundering, anti-terrorist financing and sanctions regulations has never been more challenging, and the risks of failure – both monetary and reputational – continue to grow.</p> <p>The Canadian Institute's Forum on Anti-Money Laundering has a strong record of delivering the practical, unbiased information you need in this ever-changing area.</p>	1

		<p>This year's program includes new sessions on:</p> <ul style="list-style-type: none"> -Conducting inherent risk analysis -AML in trade finance -AML for mutual fund/portfolio managers and -Tax evasion as a new predicate offence <p>We've also beefed up our coverage of sanctions compliance, in light of at least three fines or settlements in the \$half-billion range levied against major financial institutions internationally over the past year.</p> <p>The outstanding faculty includes keynote speaker Jeanne Flemming, Director of FINTRAC; Special Agent Gregory Coleman of the FBI's New York office; Josée Nadeau, Senior Chief, Finance Canada, Financial Crimes – International; and many more.</p> <p>Back by popular demand is the introductory pre-conference workshop on the fundamentals of AML, listed separately on this web site.</p>	
2011	7th Annual Symposium on Money Laundering	<p>The crime of money laundering in its ever-changing forms continues to present challenges for those involved in combating it and those who defend the accused.</p> <p>Whether you're a Crown, defence counsel, judge, law enforcement officer, or otherwise involved in AML, you must be up-to-date on the latest case law and legislation, most recent enforcement policies, trends, techniques, as well as money laundering schemes.</p> <p>Osgoode Professional Development's 7th Annual Symposium on Money Laundering will provide you with the latest information you need delivered by an experienced, distinguished and international faculty on key topics such as:</p> <ul style="list-style-type: none"> * Terrorist financing – trends and responses * Off-shore jurisdictions and anti-money laundering initiatives * Casinos, anti-money laundering risks and compliance * Money service businesses and FINTRAC compliance * New compliance requirements for financial institutions and how to meet them * Partial and full forfeiture – a practical look at the latest challenges * Ethics and legal obligations and how to comply * Review and debate of the most recent key court decisions by Crown and defence experts <p>Don't miss this opportunity to ask questions of this experienced faculty.</p> <p>Keynote Speaker</p> <p>Antonio Nicaso, award winning journalist, best-selling author and internationally recognized expert on</p>	1

		<p>organized crime - "Follow the Money".</p> <p>Chairs</p> <p>John J. Corelli, Deputy Director, Crown Law Office-Criminal</p> <p>Ministry of the Attorney General (Ontario)</p> <p>Sharon E. Lavine, Greenspan Humphrey Lavine</p>	
2011	7th Annual Symposium on Money Laundering - Osgoode PD (webcast)	<p>Originally broadcast April 8, 2011</p> <p>Leading authorities from Canada and abroad will share best practises and provide practical and critical insights. Topics include:</p> <p>Terrorism and money laundering, areas of highest risk Bank secrecy in offshore jurisdictions Snapshot view of money laundering in casinos Money service business and prepaid cards Current forfeiture challenges for Crowns, Defence and law enforcement</p>	2
2011	AML/ATF Guidelines	The lecture, presented by Cheryl-Ann Mapp, provided a summary of the regulations under the Anti-Money Laundering and Anti-Terrorist Financing regime, outlined the applicable regulatory framework and also provided best practice "risk-based" procedures to be followed.	1
2011	annual corporate and regulatory update 2011	There were 4 sessions. Session 1 - update of recent developments on corporate governance, directors' duties and misconduct; and disclosure issues by the Hong Kong Securities and Futures Commission. Session 2 - some issues relating to directors and company secretaries in the Companies Ordinance Rewrite - update by the Hong Kong Companies Registry. Session 3 - an update on listing rules policy development, with relevant considerations including corporate governance - an update by the Hong Kong Stock Exchange. Session 4 - anti-money laundering and suspicious transaction reporting for all chartered secretaries - presented by the Hong Kong Monetary Authority	1
2011	Anti-Money Laundering - CLE Archived Webcast	<p>Anti-Money Laundering - CLE Archived Webcast, followed by a group discussion.</p> <p>Ten Years Later: Reflections on the Anti-Terrorism Act</p> <p>Anti-Money Laundering and Lawyers: Legal and Ethical Obligations</p> <p>Financial Crime: Money Laundering and Organized Crime - Law Enforcement Perspective</p> <p>Reconciling Privacy Law Interests with Anti-Money Laundering Obligations - Crown Corporation Perspective</p> <p>Case Study: Key Strategies for FINTRAC Examinations - The Casino Experience</p>	5

		<p>Following the Money: Human Trafficking and Smuggling - Law Enforcement Perspectives from the U.S. Department of Homeland Security</p> <p>AML Compliance Regimes - Enhancing Effectiveness through Compliance Reviews and Technology</p> <p>Forfeiture of Proceeds of Crime and Offence - Related Property</p>	
2011	Anti-Money Laundering Fee Earner Refresher Course 2011	<p>About the Course: Familiarity with, and understanding of, the anti-money laundering and counter terrorist financing legislation has become an integral part of working in a law firm.</p> <p>Since the introduction of the anti-money laundering regime to the front line in March 2003, those working in law firms are required to retain a high level of awareness of the risks surrounding potential money laundering. They must carefully follow firm procedures and policies designed to ensure compliance with the stringent requirements of the relevant legislation.</p> <p>The legislation requires that those in the sector receive regular training in how to recognise and deal with transactions and other activities which may be related to money laundering or terrorist financing. This course has been designed as a refresher for those who have already completed the Anti-Money Laundering Fee Earner Course.</p> <p>The aims of this course are to:</p> <p>act as a reminder on the most significant areas of the anti-money laundering requirements; and ensure you remain aware of the importance of compliance with the firm's anti-money laundering systems and procedures.</p> <p>This course consists of four modules:</p> <ol style="list-style-type: none"> 1. Definitions and role of law firms within the anti-money laundering regime; 2. The relevant legislation; 3. Anti-money laundering compliance systems and procedures; and 4. Practical exercises. <p>[...]</p> <p>Presenters Bio: This Anti-Money Laundering course is the definitive AML training programme written by the following 14 leading international law firms and designed and developed by VinciWorks:</p> <p>Allen & Overy, Ashurst, Bird & Bird, CMS Cameron McKenna, Freshfields Bruckhaus Deringer, Herbert Smith, Hogan Lovells, Linklaters, Macfarlanes, Mayer Brown, Norton Rose, SNR Denton, Travers Smith and Weil Gotshal & Manges.</p> <p>[...]</p>	1

2011	Cayman & BVI as Domicile for Offshore Funds: Structural, Regulatory, & Documentation Issues	<p>Many offshore funds choose Cayman Islands or the BVI as domiciles. This course will examine different structures of offshore funds being set up in these jurisdictions, and will also delve into various regulatory and documentation issues from an offshore lawyer's perspective.</p> <p>Highlights of the course include:</p> <ul style="list-style-type: none"> - Introduction of Cayman and BVI as financial centres - Why domicile in Cayman or BVI? - Usual fund structures: corporate, unit trust & partnership, master/feeder, "umbrella" structures / segregated portfolio companies - Regulatory regimes – funds and managers - Anti-Money Laundering regulations and updates - Private Equity Funds – the Cayman and BVI issues - Documentation issues – an offshore perspective - BVI Update – Securities and Investment Business Act – Implications for BVI Funds - Regulation of funds - Regulation of investment managers - Exemptions - Case Study & Quiz 	1
2011	CJB - Study Group - Prince George - Crown Counsel Workshop	<p>Proceeds of crime Money laundering Organised crime Promoting decency of police</p> <p>Courts of BC, section 24 of charter Charter remedies, distinction with a difference</p>	2
2011	CLE - Webcast #2011-6	<p>1. Anti Money Laundering and Lawyers: Legal and Ethical Presented by: Barbara K Buchanan 41 mins</p> <p>2. Tax Exemptions Presented by Christopher G. Speakman 55 mins</p> <p>followed by lengthy discussion amongst lawyers attending (5)</p>	5
2011	Compliance 101 Conflicts Management	Review of conflict issues and money laundering issues at firm.	1
2011	IIROC Annual Compliance and Legal Seminar	On Tuesday, December 6th, 2011 the Compliance & Legal Section Education Sub-committee is hosting the annual one-day CLS Compliance Conference in Toronto. The program is designed specifically for the benefit of employees in the Compliance, Legal and related departments of IIROC Member Firms. The conference covers topics such as Anti Money Laundering legislation, insider trading laws and application, the IIROC Enforcement Rules, OTC Derivative Regulation, as well as IIROC upcoming Client Relationship regulation and regulation dealing with Dark Liquidity	4

2011	Laworld Conference	<p>New Directions in International Law [...]</p> <p>5. Petra Amrein, Julius Bar, Swiss Banking: Myths or Truth:</p> <p>Julius Bar is Switzerland's largest private Bank and Ms. Amrein is a partner. Her lecture covered the new regime in which Swiss banks are alleged to no longer provide the level of confidentiality that previously they were famous for. She went through current procedures, requirements, issues of money laundering, tax evasion, etc. Questions followed.</p>	1
2011	Legal Professional Privilege	<ul style="list-style-type: none"> - Introduction: aims of the elective will focus on risk management issues, not just the law of professional privilege, understand the concept, and provide adequate RM techniques to ensure that the importance of LPP is recognised, guarded against and the potential for unwitting waiver is reduced. - What is privilege: the definition of privilege and confidentiality and the distinction and interaction) between privilege and confidentiality; the various subsets of privilege – legal professional privilege, privilege against self-incrimination, common interest privilege, and litigation privilege? - Legal Advice Privilege - “Legal Professional Privilege and The Three Rivers Litigation”: a discussion of the House of Lords’ decision in Three Rivers, together with a critique of the English Court of Appeal’s decision in Three Rivers No. 5 and Three Rivers No. 6. The problems encountered by the still narrow definition of corporate client and the practical difficulties encountered by large organisations, in-house counsel and the risk of unintended waiver. [...] - The fraud/ iniquity exception: Discussion of the fraud exception and the recent decision in Kuwait Airways [2005]. [...] - Legal Professional Privilege and the Anti Money Laundering Regime: discussion of how the legal profession has reacted to the AML regime on an international basis and the issue of lawyer/client privilege; the implications of the decision in Pang Yiu Hung Robert v Commissioner of Police [2002] and Bowman v Fels [2005] [...] 	1
2011	Liability and Legal Development	<p>Structural changes in the ways lawyers practise; The Defensive Practice; Movement to LLP structure; Law Society's Working Party on LLPs; Structure suggested by the working party; Impetus for capping liability; Law Society Practice Direction M (Anti-Money Laundering)</p> <p>Limiting Liability - Control of Exemption Clauses Ordinance;</p> <p>Tips for drafting a "liability cap";</p> <p>What is the risk management "gain" here.</p>	1

2011	Protecting against Money Laundering	A client retains the Firm on a matter and provides you with a cash retainer of \$15,000. The Firm is asked to act in an oddly structured business deal. What now? This course reviews current legislation and firm policies that protect against money laundering. This is part of BLG 101 and is designed for all first-year associates and lateral hires.	1
2011	Protecting your Reputation in Emerging Market Deals	seminar relating to anti bribery and anti-money laundering laws in the UK and the US and how they affect best practices when dealing in Emerging Markets	1
2011	Review of CLE Archived Webcast	Review of "Advanced Securities 2011 - Capital Markets: Tips, Traps & Trends" and "Practice Management - Ethics - Anti-Money Laundering" webcast archive sessions on Friday, September 2, 2011	3
2011	Scams and Phishing	Karen Skiffington, of Cox Hallett Wilkinson Limited, a Bermuda law firm, addressed the present and dangerous state of the use of emails and other communications to fraudulently solicit business from lawyers. Ms. Skiffington demonstrated common formats used and provided tips to help lawyers avoid pitfalls and liability. Course also highlighted areas of potential violation for lawyers under various anti money laundering legislation.	1
2011	TAGLaw International Conference Geneva	M & A and Money Laundering and financing of terrorism present in M & A transactions, involves discussion of ethics and reporting requirements of legal profession. ISO 9000 and what it means for law firms and their clients. Discusses implementation of standards for firms. Tax. Interactive discussion regarding tax treatment with regard to wealth preservation in Switzerland and comparison to various global jurisdictions.	2
2011	The UK Bribery Act 2010 Part II: UK Enforcement Trends, Voluntary Disclosures, and Global Investigation Best Practices	The UK Bribery Act will come into force on 1 July 2011. Touted as one of the most revolutionary corporate compliance developments of recent times, it creates new general and foreign public official offences which focus on impropriety rather than corrupt intention. It also creates a new strict liability offence for a company that fails to prevent bribes being paid by associated third parties, which can only be met by a defence of having adequate procedures in place to prevent the payment of such bribes. Its advent is likely to present significant challenges to commercial organizations anywhere in the world with a UK connection, unless they are prepared for it. Baker & McKenzie is pleased to invite you to attend a two-part webinar on the UK Bribery Act to help you and your organization understand the key reforms, and the best way of preparing to meet the challenges it poses. As part of the first session, renowned corporate and compliance practitioners from around the globe will walk you through the new regime and the anticipated implications for your business in the Asia Pacific while the second session will cover enforcement trends in the UK, voluntary disclosures and their implications, and global investigation best practices.	2

		<p>The webinars will take place on Wednesday 29 June and 6 July 2011 lasting no more than 90 minutes for each session. Please click on the "webinar topics" below for details on each of the webinar sessions.</p> <p>Part II - UK Enforcement Trends and Voluntary Disclosures</p> <ul style="list-style-type: none"> · Disclosure Obligations in the Asia Pacific and Their Implications · Panel Discussion on Global Investigation Best Practices <p>This panel session will discuss:</p> <ul style="list-style-type: none"> Ø The enforcement trends in the UK. Ø The lack of a mandatory legal obligation to report; the SFO guidance of 2009 on the benefits of voluntary reporting; the questions raised by the Innospec case on the ability of the SFO to enter into a plea arrangement in bribery cases; the significance of mandatory money laundering reporting obligations in the UK and overseas for MNCs; and the importance of maximizing the protection of legal professional privilege. Ø Best practices to adopt in global investigations. 	
2011	Trustees and corporate service providers - is everyone a money-launderer?	This seminar is about the recent money laundering trial in Hong Kong of a corporate service provider (CSP): HKSAR v Garth Hochung (DCCC 1035/2010) and explain how the prosecution alleged that the CSP's conduct constituted money laundering, and how trustees and CSP's in Hong Kong are at risk of being charged with money laundering	1
2011	Trustees and Corporate Services Providers: Is Everyone a Money-Launderer?	Recent Money Laundering trial in HK of a corporate service provider ("CSP"); How the prosecution alleged that the CSP's conduct constitute money laundering; how trustees and CSP's in Hong Kong are at risk of being charged with money laundering.	1
2012	(1) Undertakings and (2) Tips and Traps in Connection with Receiving Funds in Trust	<p>Undertakings – presented by Don Sihota</p> <p>Don Sihota will discuss the role of undertakings in the practice of law. He will address whether there is a difference between undertakings and trust conditions, who can give undertakings, the importance of precise and exact language, what to do when you are placed on an undertaking and how to amend undertakings</p> <p>Tips and Traps in Connection with Receiving Funds in Trust presented by Doug Howard will cover the following:</p> <ul style="list-style-type: none"> • clearing funds and ensuring that you are not caught up in a fraud • ensure that you are not involved in a fraudulent attempt to change the characteristic of the funds: <ul style="list-style-type: none"> - money laundering; - attempting to avoid creditors - tax considerations • should you ever receive funds in trust which are not required for the legal services you are asked to provide • avoiding becoming an escrow agent and thus 	24

		<p>avoiding a potential conflict of interest with an existing client</p> <ul style="list-style-type: none"> • beware of receiving funds from an unrepresented party • importance of Chapter 4 Rule 2 of the Handbook • avoid allowing your client to trade on your good name (see Chapter 4 – Footnote 3) 	
2012	11th Annual Forum on Anti-Money Laundering	<p>In late 2011, AML circles were buzzing about the Department of Finance's public consultations on possible regulatory changes, including extended monitoring and record-keeping obligations, expanded obligations for identity verification and EDD for high-risk activities or business relationships, and other possible requirements.</p> <p>By spring, we should have a better idea about what will emerge from those consultations. AML professionals will also have reviewed the February 2012 changes to FATF's 40+9 Recommendations.</p> <p>To find out what these and other recent developments will mean to your organization, plan to join compliance officers from across Canada at The Canadian Institute's 11th Annual Forum on Anti-Money Laundering.</p> <p>This year's program includes:</p> <ul style="list-style-type: none"> • A keynote address from Darlene Boileau, Acting Director of FINTRAC. Learn about FINTRAC's priorities and directions for the coming year • Presentations from the Department of Finance, OSFI, FINTRAC, and the Autorité des marchés financiers • New case studies and typology information from the RCMP, FINTRAC, FBI and DEA • An update on controls for today's emerging payment systems • A panel discussion on the vexing problem of cost-effective name screening • A follow-up to last year's well-received presentation from CRA • Information for dealers and their bankers on money laundering typologies in precious metals and gemstones 	1
2012	23rd Annual ACFE Fraud Conference & Exhibition	<p>Course #1 4G: Protecting Your Investigation from Target Reprisal</p> <p>David B. Debenham, CFE, CMA Partner, McMillan LLP</p> <p>Fraud examiners are no longer immune from being sued by the targets of their investigation. Learn the new best practices that you must adopt to proactively thwart these novel methods of attack so you can keep the court's focus where it belongs - on the fraudster. During the course of this session you will receive a checklist of "Black Ops" to inoculate yourself from the emerging claims being made against public and private sector fraud examiners in the twenty-first century.</p>	1

Course #2
Speaker: Senator Christopher J. Dodd
U.S. Senator (1981-2011), Co-Author of the Dodd-Frank Act

After the financial crisis of the late 2000s, consumers looked to Washington to improve regulation, accountability and transparency of the financial industry. U.S. Sen. Christopher Dodd responded to this challenge with vigor by co-authoring the Dodd-Frank Wall Street Reform and Consumer Protection Act with U.S. Rep. Barney Frank. The Dodd-Frank Act, passed into law June 2010, created new rules to rein in abusive and fraudulent practices used by banks and lenders, and prevent future tax-payer- funded bailouts of Wall Street firms.

While the long-term effects of Dodd-Frank are unclear, the immediate implications for anti-fraud professionals are the act's robust whistleblower provisions: Corporate whistleblowers may be entitled to between 10 percent to 30 percent of any government recovery in excess of \$1 million. This incentive alone could have far-reaching effects for anti-fraud professionals in all industries.

With 30 years in the U.S. Senate and six years in the U.S. House of Representatives, Chris Dodd built a solid, commanding reputation for independence, vision and effectiveness that few in Washington can match. Dodd founded the first Senate Children's Caucus, as well as authored the Family Medical Leave Act (FMLA), the Help America Vote Act (HAVA), Troubled Asset Relief Program (TARP) legislation and credit card reform legislation. He represented the state of Connecticut in Congress for 36 years before retiring in 2010. Dodd currently serves as chairman and CEO of the Motion Picture Association of America.

Course #3
9C: Lying, Cheating and Stealing: White-Collar Crimes Overview

Doug Squires, J.D.
Adjunct Professor of Law, OSU Moritz College of Law

White-collar crimes are non-violent, often complex criminal offenses involving lying, cheating and stealing. This presentation focuses on the investigation, prosecution and defense of white-collar crimes. Topics covered will include fraud, corruption, money laundering, obstruction of justice and other crimes commonly litigated in federal courts, along with the latest laws and legal techniques. This session will also discuss cutting-edge issues specific to white-collar crime concerning criminal law and evidence.

Course #4
10F: How to Identify & Manage Money-Laundering Risk

		<p>Robert Mazur Former Federal Undercover Agent President, Chase & Associates, Inc.</p> <p>Based on five years undercover within Colombian cartels as a money launderer, working directly with the world's most infamous dirty bankers and businessmen, this presentation exposes money laundering from every perspective and will empower you to identify the types of businesses, products and geographic areas that are havens for tainted funds. While learning the real meaning of "money laundering related risks" you'll be armed with insight about how to protect yourself and your company from the risks related to unwittingly dealing in tainted funds.</p>	
2012	8th Annual Symposium on Money Laundering	<p>The pervasive nature and innovative forms of the crime of money laundering present continuing challenges for those involved in detecting, prosecuting and combating it as well as for those defending the accused. Whether you're a lawyer, law enforcement officer, regulatory fraud investigator, financial institution officer, you must not only be up-to-date but ahead of the curve concerning the most recent trends, enforcement policies, techniques, money laundering schemes and penalties.</p> <p>Osgoode Professional Development's 8th Annual Symposium on Money Laundering has been developed to provide you with the key information, expert insights and practical knowledge you need to be effective in your work in this field.</p> <p>You'll hear from an international faculty of top government and law enforcement professionals, regulatory and financial experts and nationally recognized Crown and defence counsel, as well as leading lawyers in the area of international business and anti-corruption law. Topics include:</p> <p>Counterfeit goods and money laundering nexus Global anti-bribery and anti-corruption legislation; what you need to know about international transparency and compliance issues Most current case law update from trial and appellate courts; Crown and defence perspective Recovery of proceeds post-conviction; restitution or forfeiture? Impact of Bill C-21 on victim restitution and sentencing hearings</p> <p>Chairs John J. Corelli, Deputy Director, Crown Law Office - Criminal, Ministry of the Attorney General (Ontario) Sharon E. Lavine, Greenspan Humphrey Lavine</p> <p>OPD Program Lawyer Mary Park [...]</p>	4
2012	Amendments to Bermuda's AML/ATF Regime	Barbara Padega, a lawyer at Conyers Dill & Pearman, presented a lecture highlighting new compliance requirements for lawyers under the Proceeds of Crime	1

		(Anti-Money Laundering and Anti-Terrorist Financing) Regulations 2008 in relation to record keeping, “know-your-client” obligations and reporting of suspicious activities to applicable authorities. The lecture also included a summary of lawyers’ obligations under the newly enacted Corporate Service Provider Business Act.	
2012	Anti-Bribery and Corruption Course	This course provides an overview of the UK anti-bribery and corruption legislation, including the Bribery Act 2010 and the Money Laundering Regulations. It covers the responsibilities of employees and employers under the relevant legislation. There is a testing element at the end of the course, which must be completed and passed in order to complete the course.	1
2012	Anti-Money Laundering	<p>Money laundering is currently the focus of global international cooperation between most national governments. There are several international conventions and agreements covering this area. Hong Kong is an active participant in international initiatives because, as a major international centre for financial business, it needs to participate and be seen to participate pro-actively in the international effort. The AML regulations and laws affect law firms in particular because they are specifically named in the FAT-F recommendations as being potential conduits by which criminals and terrorists might find routes to launder large sums of money.</p> <p>This module :</p> <ul style="list-style-type: none"> •Provides an overview to enable lawyers to have sufficient awareness of the International and Local AML Regulatory framework •Will help firms ensure that they understand and comply with local laws and regulations •Will help firms prepare for future evolution as money laundering activities continue to become more sophisticated <p>The course is highly participatory in approach, mixing lectures with case studies and practical exercises to explore risk management in an interactive manner that will resonate with day-to-day practice.</p>	1
2012	Anti-Money Laundering Fee Earner Course	Covers UK anti-money laundering laws and how it applies to legal practice	1
2012	Anti-money laundering fee earner course	<p>The definitive anti-money laundering program for fee earners in leading UK and international law firms. This course fits in with our firm’s anti-money laundering procedures and aims to:</p> <ul style="list-style-type: none"> • help you understand what anti-money laundering is about and why it is relevant to you; • help you understand why you need to be aware of the issue of terrorist financing; • give you awareness of the law relating to money laundering and terrorist financing; • show how our firm’s anti-money laundering procedures apply and help you recognise and deal with transactions and other activities which may be related to money laundering or terrorist financing; and • test that you have understood the points covered. 	1

		<p>This course has been designed to teach you anti-money laundering best practices and procedures, as defined by 14 of the world's leading law firms and in line with (a) the Practice Note that has been drawn up by The Law Society of England and Wales and (b) applicable legislation in the UK and other jurisdictions. This includes:</p> <ul style="list-style-type: none"> • knowing how to verify a client's identity and conduct client due diligence measures; • learning how to recognise and deal with transactions and other activities which may be related to money laundering by being alert to suspicious behaviour and reporting such activities in the right way; • understanding UK-specific requirements (where relevant); and • being clear on our firm's own internal policies and procedures. <p>By completing this course you will have learnt how to comply with all critical statutory requirements and will be able to play your part in the fight against money laundering.</p> <p>Presenters Bio:</p> <p>This Anti-Money Laundering course is the definitive AML training programme written by the following 14 leading international law firms and designed and developed by VinciWorks:</p> <p>Allen & Overy, Ashurst, Bird & Bird, CMS Cameron McKenna, Freshfields Bruckhaus Deringer, Herbert Smith, Hogan Lovells, Linklaters, Macfarlanes, Mayer Brown, Norton Rose, SNR Denton, Travers Smith and Weil Gotshal & Manges</p>	
2012	Anti-Money Laundering Fee Earner Course 2011/2012	On line course with multiple choice testing concerning 1 anti-money laundering rules, know your client, reporting and privilege issues under English law which is very much on all fours with Canadian law on the issues.	1
2012	BLG 101/National CLE - Protecting against Money Laundering	A client wishes to or retains the Firm on a matter and provides you with a cash retainer of \$15,000. The Firm is asked to act in an oddly structured business deal. What now? What are your obligations? This course reviews current rules of professional conduct, legislation and firm policies that protect against money laundering. This is part of BLG 101 and is designed for all first-year associates and lateral hires	1
2012	Bribery, Corruption and Sanctions - Hazards for UAE Corporates	*US and EU Corruption and Money Laundering laws *International Sanctions - Iran and Syria *Sanctions, Corruption & Money Laundering issues in the UAE	1
2012	CCH Annual CPD Fast-Track Conference	October 11 2012 [...] (2) Corporate Governance and Compliance - and the law firm legal practitioners ordinance fiduciary duty	1

		<p>changes in the law - the Companies Ordinance 2012</p> <p>issues for corporate governance</p> <p>the conduct of general meeting</p> <p>anti-money laundering and counter-terrorist financing (financial institutions) Ordinance 2011</p> <p>post - Lehman Bros mini-bonds</p> <p>financial dispute resolution centre</p> <p>how does the listed companies comply with the legislation and non-statutory requirements in practice</p> <p>directors continuing obligations on listing</p> <p>[...]</p>	
2012	CLE Archived Webcasts 2012	<p>Lawyers viewed and discussed the following CLE Archived Webcasts:</p> <p>[...]</p> <p>The New Client ID Rules from the course Solo and Small Firm Conference 2009</p> <p>Anti-Money Laundering and Lawyers: Legal and Ethical Obligations from the course Anti-Money Laundering Law (Ethics)</p> <p>[...]</p>	1
2012	CLE Webcast #2012-6	<p>1. Anti-Money Laundering Buchanan, Barbara - May 2011 Length: 41 mins</p> <p>[...]</p>	1
2012	CLEBC Webcast Archive - Anti-Money Laundering Law (JAPAN GROUP)	<p>In-house review and discussion of CLEBC Webcast Archive sessions "Anti-Money Laundering and Lawyers: Legal and Ethical Obligations".</p>	2
2012	Elective Module: Anti-Money Laundering	<p>The Academy assigned 4 CPD points for Hong Kong accreditation</p> <p>Lecture + participatory case study workshop. Chaired by three lawyers. An Elective Risk Management programme directed at the potential vulnerability of a law firm to anti-money laundering financing. Including et al the measures relevant to lawyers; unusual transactions; reporting of suspicious transactions; and doing business with non-compliance countries.</p>	1
2012	Ethics training - how far should you go for your clients	<p>Ethical guidelines that work around the anti-money laundering applicable to the Middle East.</p>	1
2012	iGaming North America Conference 2012	<p>[...]</p> <p>10. Panel: How will US Online Gamblers Fund Their Accounts in the Regulated Environment?</p> <ul style="list-style-type: none"> • Existing and expected challenges in payment processing. • Dealing with fraud and money laundering. • Consumer preferences. • Emerging payment alternatives. <p>Moderator, Tony Fontaine, President, ProPick Racing John English, Senior Vice President, American Wagering Inc. Robert Holmes, President & CEO, RaceUWin.com Ted Teruo Kitada, Senior Company Counsel, Wells Fargo Bank, National Association Joel Leonoff, President & CEO, Optimal Payments</p>	1

		PLC [...]	
2012	Money Laundering in Canada 2012	<p>In 2012, the agenda includes 15 workshops and 4 plenary sessions. Scheduled topics include:</p> <ul style="list-style-type: none"> • Current trends & typologies in money laundering & organized crime • Proposed changes to Canada's AML legislation • Money laundering & fraud • Enhancing KYC & due diligence requirements • Tax crimes & money laundering • Offshore financial centres • Managing high-risk clients • Law enforcement challenges in the AML/CTF arena • Human smuggling: links to money laundering 	1
2012	Regulatory Compliance for Financial Institutions, 18th Annual	<p>[...]</p> <p>With global stress testing and crisis management requirements at the forefront for regulatory authorities, it is more important than ever that you have the necessary tools to develop, implement and benchmark your risk management programs. Learn how to exceed the expectations of regulators, and insulate your organization against the negative business effects of a cyclical global economic climate.</p> <p>Attend The Canadian Institute's 18th Regulatory Compliance for Financial Institutions, to gain the most practical and current compliance information from industry leading stake-holders with the Big 5 banks, smaller institutions, credit unions and insurers, as well as future trends directly from the regulators to shape the way you conduct your business.</p> <p>Test the effectiveness of your compliance programs through NEW topics this year including:</p> <ul style="list-style-type: none"> • Neutralizing risk with a fine-tuned crisis management plan • How to achieve optimum performance through effectiveness testing and robust ERM • Strategies to comply with the new FATF 40+9 anti-money laundering regulations • Data management: Leveraging advancing technologies to discharge privacy obligations and comply with revised OSFI B-10 outsourcing guidelines • Best practices in implementing B-6 liquidity principles under Basel III • Keeping pace with evolving IRS guidance on FATCA and Dodd-Frank Wall Street Reform • Understanding the implications of enhanced disclosure, penalties and insurance limits under the new mortgage rules <p>[...]</p>	4
2012	Regulatory Compliance for Financial Institutions, 18th Annual - Webinar	[...]	1

		<p>your risk management programs. Learn how to exceed the expectations of regulators, and insulate your organization against the negative business effects of a cyclical global economic climate.</p> <p>Attend The Canadian Institute's 18th Regulatory Compliance for Financial Institutions, to gain the most practical and current compliance information from industry leading stake-holders with the Big 5 banks, smaller institutions, credit unions and insurers, as well as future trends directly from the regulators to shape the way you conduct your business.</p> <p>Test the effectiveness of your compliance programs through NEW topics this year including:</p> <ul style="list-style-type: none"> • Neutralizing risk with a fine-tuned crisis management plan • How to achieve optimum performance through effectiveness testing and robust ERM • Strategies to comply with the new FATF 40+9 anti-money laundering regulations • Data management: Leveraging advancing technologies to discharge privacy obligations and comply with revised OSFI B-10 outsourcing guidelines • Best practices in implementing B-6 liquidity principles under Basel III • Keeping pace with evolving IRS guidance on FATCA and Dodd-Frank Wall Street Reform • Understanding the implications of enhanced disclosure, penalties and insurance limits under the new mortgage rules <p>[...]</p>	
2012	Transcontinental Trusts Conference 2012	<p>Regulation of Trustees in Switzerland/Status and SATC's proposal</p> <p>Certainty over Residence at last? A Statutory Residence Test for the UK</p> <p>Liechtenstein & The New World Order</p> <p>How Family Foundations are Developing Their Philanthropy</p> <p>The Bahamas Advantage: Introducing the Innovative Bahamas Executive Entity</p> <p>From Russia with Wealth – Which Structures and Why?</p> <p>Fund Structuring</p> <p>FATF and Anti Money Laundering. A success or an Ever-Increasing Burden on Wealth Management</p>	1
2013	12th Annual Forum on Anti-Money Laundering	<p>From provider:</p> <p>The past year in anti-money laundering has had two major themes: increases in the number and quantum of fines in worldwide enforcement, as typified by the news item above, and moves by the Canadian</p>	3

		<p>government to amend regulations and legislation to conform with FATF requirements.</p> <p>To find out what these and other recent developments could mean to your organization, plan to join compliance officers from across Canada at The Canadian Institute's 12th Annual Forum on Anti-Money Laundering.</p> <p>Hear from regulators, law enforcement, top financial institutions and leading lawyers on key topics including:</p> <ul style="list-style-type: none"> • FINTRAC and OSFI: What are their current initiatives, priorities and expectations? • New case studies and typology information from the RCMP and DEA • An update on controls for today's emerging payment systems • The popular regulator panel and Q&A, featuring OSFI and FINTRAC • Insights into what foreign enforcement efforts will mean to Canadian reporting entities • New sessions on correspondent banking and demarketing • Valuable information from a senior official at the U.S. Dept. of the Treasury 	
2013	16th Annual Transnational Crime Conference	<ul style="list-style-type: none"> • The use of private investigators, experts and forensic accountants in multi-jurisdictional criminal litigation • Offshore tax havens and the loss of secrecy in multinational tax fraud investigations and prosecutions • Money laundering and corruption investigations in South America and the Caribbean • Acting in high-profile, multi-jurisdictional cases and the impact of the media • Bilateral cooperation and the increase in multi-jurisdictional criminal investigations • LIBOR and the upswing in international financial services and securities fraud investigations and prosecutions <p>As always, this key event in the international calendar will deliver high profile speakers and commentators who will discuss the latest developments, hot topics and trends in international criminal law today. Attendees will also benefit from a fantastic opportunity to network and discuss the day's topics at a conference dinner to be held at Joe's Stone Crab.</p>	1
2013	2013 CLHIA Compliance and Consumer Complaints Annual Conference	<p>[...]</p> <p>Wednesday, May 08, 2013</p> <p>[...]</p> <p>Update from the Office of the Superintendent of Financial Institutions (OSFI)</p> <p>OSFI will provide an update on its Road Map, Compliance Framework, new Corporate Governance Guideline, the independent review of compliance functions, and other initiatives, and their implications for Governance, Risk and Compliance (GRC).</p> <p>Vlasios Melessanakis, Director Policy Development, Office of the Superintendent of Financial Institutions</p>	2

(OSFI)

[...]

Risk Management Gone Wrong

When it comes to managing material risk, your legal and compliance groups need to be "in step" with each other. In this presentation, we will take a close look at the relationship between the legal and compliance aspects of material risk. Some of the questions to be considered are:

- What are the types or phases of material risk?
- How do legal and compliance work together in managing material risk?
- What are the implications for reputation management when risk management goes wrong?
- What can we learn from the mistakes of others?
- Where do regulators fit in?
- What material risk issues are on the horizon?

Presenter:

Stuart Carruthers, Partner, Stikeman Elliott

[...]

Governance - Foreign corrupt practices legislation and its impact in Canada

Canada has stepped up enforcement of its anti-corruption laws and, by doing so, has underscored the importance for Canadian companies of ensuring that they have robust anti-corruption compliance programs in place. New legislative initiatives, tabled in the Senate in early February 2013, will further strengthen Canada's Corruption of Foreign Public Officials Act (CFPOA) and will bring Canadian law more closely in line with the US Foreign Corrupt Practices Act and UK Bribery Act. The proposed amendments to the CFPOA will also broaden its jurisdictional reach and remove a significant impediment to authorities' ability to prosecute CFPOA cases, likely leading to even further CFPOA prosecutions to come. Join this discussion of the impact of the CFPOA in Canada and the necessity for robust compliance regimes in companies conducting business in foreign countries.

Presenters:

Mark Morrison, Partner, Blake, Cassels and Graydon LLP

David Neave, Partner, Blake, Cassels and Graydon LLP

[...]

Governance - Anti-Money Laundering and Anti-Terrorist Financing

Our panel will discuss the new Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations other related issues, including:

- Understanding money laundering and terrorist financing risk in our industry
- Developing policies and procedures on the "Risk Based Approach" requirements contained in the PCMLTFA
- Forthcoming amendments to FINTRAC guidelines
- Recent updates to the Financial Action Task Force's

		guidance document, Anti-Money Laundering and Terrorist Financing Measures and Financial Inclusion Panelists: Lori Achatz, Director, Regulatory Compliance, Sun Life Financial Richard Lee, President, Pendragon Consulting Additional panelist TBC [...]	
2013	3rd IAP North American and Caribbean Regional Conference	This two day conference will bring together criminal prosecutors from across North America and the Caribbean to learn about current issues in criminal law. Sessions will feature panellists from prosecution services in Canada, USA, Mexico as well as experts and police from around the world. The sessions will cover DNA, trafficking in persons, intellectual property theft, counterfeiting, cybercrime, search and seizure, money laundering and organized crime.	3
2013	AML/ATF Update	Ms. Kim Wilson, Supervisor for the AML/ATF Board for Attorneys and Accountants, provided a lecture on the current status of Bermuda's anti-money laundering and anti-terrorist financing regime under the Proceeds of Crime Act 1997 and the Proceeds of Crime (Anti-Money Laundering and Anti-Terrorist Financing) Regulations 2008, including providing information concerning the establishment of necessary guidelines required for law firms.	1
2013	Anti-Money Laundering	- Provides an overview to enable lawyers to have sufficient awareness of the International and Local AML Regulatory framework - Help firms ensure that they understand and comply with local laws and regulations - Help firms prepare for future evolution as money laundering activities continue to become more sophisticated	1
2013	Anti-Money Laundering Online Course - Hong Kong Fee Earner Course	The definitive anti money laundering program for fee earners in leading Hong Kong and international law firms. This course fits in with our firm's anti-money laundering procedures and aims to: 1. help you understand what anti-money laundering is about and why it is relevant to you; 2. help you understand why you need to be aware of the issue of terrorist financing; 3. give you an awareness of the law relating to money laundering and terrorist financing; 4. show how our firm's anti-money laundering procedures apply and help you recognise and deal with transactions and other activities which may be related to money laundering or terrorist financing; and 5. test that you have understood the points covered. This course has been designed to teach you anti-money laundering best practices and procedures, as defined by 14 of the world's leading international law firms and 11 of Hong Kong's leading firms and in line with (a) Practice Direction P that has been drawn up by The Hong Kong Law Society and (b) applicable legislation in Hong Kong.	1

		<p>This includes:</p> <ol style="list-style-type: none"> 1. knowing how to verify a client's identity and conduct client due diligence measures; 2. learning how to recognise and deal with transactions and other activities which may be related to money laundering by being alert to suspicious behaviour and reporting such activities in the right way; 3. understanding Hong Kong-specific requirements; and 4. being clear on our firm's own internal policies and procedures. <p>By completing this course you will have learnt how to comply with all critical statutory requirements and will be able to play your part in the fight against money laundering.</p>	
2013	Asia Regulatory Offsite	<p>This full day program includes sessions on "UK, US and Asia Pacific enforcement trends", "Regulation of OTC derivatives", "Asia Pacific anti-corruption update", "Developments in RMB", "Anti-money laundering investigations", "Update on sponsors and PSI regulations" and "The regulatory reform and the future shape of the markets".</p>	1
2013	CJB - Lottery and Gaming Offence Investigations	<p>Chris Graham, a Special Provincial Constable with the Gaming Policy and Enforcement Branch, will discuss the role and mandate of the Gaming Policy and Enforcement Branch (GPEB) as designated in the Gaming Control Act. He will explain how the GPEB works with other investigative agencies on cases involving offences associated to the gaming industry (Fraud, Identity theft, Money Laundering). This session will be very useful for all Crown counsel who may have a case involving lottery products or offences associated to the gaming industry.</p>	18
2013	Doing Business in Emerging Markets	<p>[...] 9.30am - 10.00am Keynote speech</p> <p>?What do emerging and high-growth markets mean? ?What are their legal challenges? ?How do they impact different sectors? ?Key insights on where new accelerations in growth are coming from ?What are the emerging markets trying to do to get into developed countries? Edward Oakden, Managing Director, Strategic Trade, UK Trade & Investment [...]</p> <p>11.50am - 12.30pm Managing your legal risk within high risk emerging markets</p> <p>The Foreign Corrupt Practices Act and the UK Bribery Act continue to highly influence companies' due diligence processes and integration focus. Practically, what does legal risk mean and who are you really dealing with?</p> <p>?What are the biggest risks?</p>	1

		<p>?How do you mitigate the risks? ?Understanding the established local business practices among the countries where you plan to conduct business Don Hughes, Vice President and EMEA General Counsel, Hitachi Data Systems Adam Ramsay, Legal Director, Edwards [...]</p> <p>2.15pm - 3.00pm Choose from one of workshop sessions below</p> <p>SESSION A: Safeguarding third-party relationships to minimise risk</p> <p>Supply chains have expanded as companies have sought to drive down costs and increase their operational capabilities. Third parties can also help a company gain access to a wider pool of skilled professionals with an understanding of the local market.</p> <p>However, companies often face significant legal and reputational risks if one of their third parties engages in corrupt activities.</p> <p>?Carrying out preliminary and ongoing due diligence of existing business relationships ?Understanding the complexity of contractual agreements with suppliers and local business partners ?Liability, money laundering, reputational damage ?Getting buy-in from C-suite executives when overseeing the management of third-party relationships Tom Melbye Eide, Head of LEGAL Global Strategy and Business Development, Statoil Robert Dunk, Legal Director EMEA, CBRE Limited Emma Codd, Partner, Deloitte [...]</p>	
2013	Enforcement Training 2013	<p>Enforcement training was provided to Enforcement, Policy and General counsel (all lawyers), Investigators and Case Assessment Staff. It comprised a series of presentations directly related to my practice.</p> <p>Policy and Compliance Update - addressed NI 31-103, which I deal with in my practice. It is a new NI that Staff needs to learn;</p> <p>FSCO is a regulatory body that the MFDA works with and provided an overview of their enforcement procedures;</p> <p>Anti - Money Laundering Update - reviewed trends that the MFDA is seeing. My practice frequently deals with misappropriation of funds;</p> <p>W.H. Stuart - presented by MFDA Staff to update us on the investigation and litigation of the matter. This is a matter I had direct knowledge of as I reported to the Investright Summaries Enforcement Roundup webpage and this Member's alleged misconduct occurred in jurisdictions I am responsible for;</p> <p>CCIR - presented by FICOM (BC) is an agency that the MFDA also has worked with and I presently have a file involving FICOM. This presentation was specific</p>	2

		to policy initiatives regarding seg funds and suitability - both topics I come across in my practice frequently;	
2013	Financial Crime and Anti-Money Laundering Conference	This course was a two-day conference on financial crime, anti-money laundering and counter terrorist financing for lawyers, regulators, banks, compliance professionals and reporting entities pursuant to the Proceeds of Crime (Money Laundering) and Terrorist Financing Act.	1
2013	Foy Allison 201	One hour course on anti-corruption, money laundering, bribes and gifts.	2
2013	Fraud Awareness & Financial Literacy	Topics will include: • File opening procedures, including conflicts verification and Know Your Client compliance • Trust accounts and related risks • Anti-money laundering compliance • Ponzi schemes -- how to identify and avoid • Internal fraud awareness issues	10
2013	Half-Day Training Session	Topics were (1) digital video evidence, (2) relationships between fraud and money laundering, and (3) securities fraud investigations.	1
2013	HSBC Financial Crime and Sanctions conference	HSBC Group conference for legal and compliance professionals from offices around the world. Specific sessions included sanctions including UN and US (OFAC sanctions) as well as bribery including UK Anti Bribery Act and US Foreign Corrupt Practices Act. Other sections including Anti money laundering and Global regulatory developments.	2
2013	Legal Practice KYC	Neil Van Eijk, a lawyer and head of compliance at Conyers Dill & Pearman Limited, delivered a presentation introducing and explaining the new KYC ("know your client") requirements and procedures for lawyers practicing in Bermuda. Neil's presentation included a summary of the applicable anti-money laundering provisions and associated liabilities and fines applicable to lawyers for breaches of the KYC regime.	1
2013	Money Laundering in Canada	The Course addressed some of the requirements of the new FINTRAC legislation related to the Anti Money Laundering and Terrorism Financing Act and how it applied to reporting institutions such as Casinos, banks, and other businesses. As well the course addressed some methods that those covered by the legislation could develop guidelines for compliance. I attended most, but not all of the lectures so am only requesting 6 hours.	1
2013	Payment Cards & Systems	Recent developments in the regulation of payment cards and systems in Canada, including: • Recent Decision of the Competition Tribunal • Privacy: Evolving Best Practices • Dealing with Data Breaches • Risk Assessment Under the OSFI Corporate Governance Guideline • Responding to Regulatory Inquiries and Compliance Agreements	2

		<ul style="list-style-type: none"> • Anti-Money Laundering Compliance Issues • Code Compliance • Complaints Policies and Processes • FCAC Clear Language Review • Updates on Provincial and Federal Laws 	
2013	Prepaid & Emerging Payments Webinar - an overview of regulatory issues	<ul style="list-style-type: none"> - Review of key Consumer Financial Protection Bureau activities for prepaid and payments including: - GPR ANPR/complaint gathering - Remittance regulations - Disclosures <p>- New regulatory concerns and open issues for 2013 in Anti Money Laundering - FinCEN</p> <p>- Updates on AML cross-border regulations</p> <p>- An update on the "Durbin Amendment" including effective dates on routing restrictions.</p> <p>- 2012 Bank regulatory overview including:</p> <ul style="list-style-type: none"> - Restrictions on 3rd party servicers - Animus against prepaid - Credit products <p>- Privacy and Data Security: recent trends in social media, mobile products, E-Sign and PCI DSS</p> <p>CLE offered in the USA.</p>	1
2013	Protecting Against Money Laundering	<p>A client wishes to or retains the Firm on a matter and provides you with a cash retainer of \$15,000. The Firm is asked to act in an oddly structured business deal. What now? What are your obligations?</p> <p>This course reviews current rules of professional conduct, legislation and firm policies that protect against money laundering.</p> <p>This is part of BLG 101 and is designed for all first-year associates and lateral hires</p>	4
2013	Regulation Matters	<p>Please join us on Tuesday, April 16, 2013 for our upcoming Regulation Matters webinar.</p> <p>This interactive webinar series is geared towards financial services professionals who are dealing with today's growing body of diverse and complex regulations.</p> <p>Your full participation in the webcast qualifies you to receive ONE Continuing Professional Development or CPD credit.</p> <p>Key discussion points:</p> <p>IFRS</p> <p>Summary of changes from the IASB's exposure draft on new loan loss accounting rules (IFRS 9 Impairment of Financial Assets)</p> <p>Anti-Money Laundering</p> <p>Update on new regulations amending Canadian Anti-Money Laundering legislation</p> <p>FATCA</p>	1

		Update on FATCA regulatory landscape and managing compliance risk through an effective FATCA governance model and controls framework	
2013	Revolutionary Payment Solutions 2013 & Beyond: Legal & Regulatory Compliance Primer	<p>[...]</p> <p>1:15 - 2:00</p> <p>MOBILE PAYMENTS REGULATION (CONTINUED)</p> <p>Lisa Abe-Oldenburg, Milos Barutciski</p> <ul style="list-style-type: none"> • Consumer Protection Issues • Code of Conduct for the Debit and Credit Industry • Canadian NFC Mobile Payments Reference Model • Impact on “merchant specific” provisions • Impact of regulations on prepaid cards and other e-payment products such as money transfer services • Payment Card Industry Data Security Standard • PIN Security Requirements • Anti Money Laundering Regulations and Compliance • Competition Law Concerns <p>[...]</p>	1
2014	13th Annual Forum on Anti-Money Laundering	<p>Join us again next year on April 2 and 3, 2014 for Canada’s leading AML event. This is your opportunity to gain clarity about the new regulations coming into force on Feb. 1, as well as coming changes to Guideline B-8, the intersection between AML and privacy, new typologies and much more.</p> <p>Back by popular demand are two workshops on April 1: Anti-Money Laundering 101 and The Examiners are Coming: Are You Ready? (Listed separately) Join your peers from large and small financial institutions. Take advantage of our special advanced notice offer today.</p> <p>[...]</p>	2
2014	2014 FINRA Annual Conference-Washington DC	<p>[...]</p> <p>2:45 p.m. – 4:00 p.m. Concurrent Sessions I Suitability (Small Firm Focus)</p> <p>Panelists discuss how small firms are complying with suitability and know-your customer requirements. They share approaches for documenting and supervising hold recommendations and for capturing required customer-profile information. FINRA panelists highlight common suitability deficiencies found during recent examinations.</p> <p>Enforcement Developments</p> <p>This session provides an overview of new developments and trends in enforcement, including enforcement priorities, as well as policy changes and clarifications, particularly regarding information requests. Panelists highlight noteworthy decisions and settlements that illustrate FINRA priorities and provide guidance on regulatory and compliance practices. They also provide information and insights on navigating enforcement investigations and the disciplinary process.</p> <p>[...]</p> <p>Ethics and Professional Responsibility for Securities</p>	1

Attorneys

This session focuses on ethical considerations and the significant competing interests that securities attorneys face. Practitioners discuss the roles of securities attorneys and the nature and scope of their ethical obligations in different situations.

[...]

**2:45 p.m. – 4:00 p.m. Concurrent Sessions IV
Common Examination Findings and Compliance Practices (Small Firm Focus)**

FINRA staff members discuss the most common deficiencies noted during FINRA cycle examinations of small firms and issues that result in a cautionary letter. Industry practitioners discuss taking corrective action and updating compliance procedures and practices based on lessons learned from common exam deficiencies.

Fraud Detection and Prevention

This session focuses on noteworthy fraud cases. Panelists highlight recent insider trading cases, cyber hacking, and market manipulations that targeted investors and the financial services industry.

Risk Management Practices

Panelists discuss effective processes to identify, assess, mitigate and manage risk. They discuss how to determine the issues and areas of focus, what effective internal controls look like, and keeping policies and procedures up to date with regulatory developments and industry practices. They also discuss effective approaches to risk governance.

[...]

4:15 p.m. – 5:30 p.m. Concurrent Sessions V

[...]

Anti-Money Laundering (Small Firm Focus)

This session focuses on suspicious activity monitoring, independent testing and customer identification programs at small firms. FINRA panelists highlight commonly cited deficiencies in these AML areas. Industry practitioners share how their small firms monitor for suspicious activity, determine who should conduct an independent test, address deficiencies, and ensure proper collection and verification of customers' identifying information.

[...]

Global Regulatory Landscape

Join us for a special session with leaders from the International Organization of Securities Commissions (IOSCO) and international securities regulatory agencies. Panelists discuss key issues shaping the global regulatory landscape, including how international regulators incorporate concepts like behavioral finance in their regulatory approach. They also discuss how issues such as shadow banking, corporate governance, bank capital and OTC derivative markets are defining regulators' actions.

[...]

		<p>AML: Monitoring for Suspicious Activity (Medium & Large Firm Focus)</p> <p>Panelists from medium and large firms discuss their practices for monitoring suspicious activity. They highlight issues at bank-affiliated broker-dealers and the challenges of monitoring for suspicious activity in RVP/DVP, omnibus and master-sub accounts. They also discuss how obligations for suspicious activity monitoring intersect with a firm's responsibility to determine the registration status of shares under Section 5 of the Securities Act of 1933.</p> <p>[...]</p>	
2014	Anti Money Laundering: Regulatory Updates and Best Practices	This year, new anti money laundering regulations have come in to force and more regulatory reforms are anticipated soon. Ensure you have the current knowledge and strategies to prevent money laundering, and to defend your clients who may be accused. Get cutting edge updates on the most recent trends, enforcement policies, schemes and penalties as well as best practices for complying with AML regulations directly from OSFI, FINTRAC and the Privacy Commissioner of Canada	1
2014	Anti-money laundering	Anti-money laundering overview and updates.	1
2014	Anti-Money Laundering	<p>Money laundering is currently the focus of global international cooperation between most national governments. There are several international conventions and agreements covering this area. Hong Kong is an active participant in international initiatives because, as a major international centre for financial business, it needs to participate and be seen to participate pro-actively in the international effort. The AML regulations and laws affect law firms in particular because they are specifically named in the FAT-F recommendations as being potential conduits by which criminals and terrorists might find routes to launder large sums of money.</p> <p>This module :</p> <ul style="list-style-type: none"> •Provides an overview to enable lawyers to have sufficient awareness of the International and Local AML Regulatory framework •Will help firms ensure that they understand and comply with local laws and regulations •Will help firms prepare for future evolution as money laundering activities continue to become more sophisticated <p>The course is highly participatory in approach, mixing lectures with case studies and practical exercises to explore risk management in an interactive manner that will resonate with day-to-day practice.</p>	1
2014	Anti-Money Laundering	Presentation on anti-money laundering to strengthen lawyers' ethics and professional conduct	1
2014	Anti-Money Laundering	Presented with case studies and relevant scenarios, the on-online Thomson Reuters AML course provide individuals with all the necessary rules and regulations to ensure they understand their role in combating money laundering and terrorist financing. The course outline includes: Background, Law and Regulation, Identification and KYC, Money Laundering Risks,	2

		Sanctions, Reporting Your Suspicions, And a course test.	
2014	Anti-Money Laundering & Terrorist Financing Training	<p>This program will focus on Anti-Money Laundering and Terrorist Financing : risks and methodologies, legal and Law Society requirements, office policies and procedures and risk assessment, client vetting, engagement letters, file opening, record keeping, suspicious transaction recognition and reporting, annual confirmations, compliance officers, and consequences of failure.</p>	1
2014	Anti-Money Laundering 101:Mastering the Fundamentals	<p>Note: This workshop is available to people attending the associated anti-money-laundering conference (separately listed) and their designated colleagues. It is available by personal attendance only.</p> <p>Dan Ruch Vice President, Chief Compliance Officer Equitable Trust Company</p> <p>This comprehensive workshop has been designed to provide you with a good grasp of the basics, including the regulatory framework, the key elements and objectives of an AML/ATF compliance program and the role of the Chief Anti-Money Laundering Officer. Topics in this workshop will include:</p> <ul style="list-style-type: none"> *Understanding the essential purpose and principles of an AML/ATF compliance program *Defining money laundering and terrorist financing *Protecting your organization from liability, fines/penalties and reputational risk *Establishing a compliance framework -- policies, procedures and controls *Understanding the regulatory framework *Key regulatory bodies: who does what? *Understanding the different regulatory regimes *The role of the FATF *Financial Transactions and Reports Analysis Centre of Canada (FINTRAC) *The role of the Office of the Superintendent of Financial Institutions *Self-regulatory organizations and industry associations *An overview of key legislation and regulations -The Proceeds of Crime (Money Laundering) and Terrorist Financing Act (PCMLTFA) and regulations *The basic requirements applicable to all reporting entities *A roadmap to compliance -Overview of an effective compliance program -Designing a compliance program appropriate to your organization -The importance of comprehensive risk assessment -Roles of the board, committees and management -Audit/review obligations -Understanding industry best practices *Real-life examples of companies fined for non-compliance <p>Dan Ruch has more than 20 years of experience in governance, risk and compliance consulting with</p>	1

		<p>financial institutions and other industries. He has developed and implemented complex organization-wide programs including legislative compliance management, anti-money laundering & anti-terrorist financing, and privacy & data protection.</p> <p>[...]</p>	
2014	Anti-Money Laundering and Sanctions Awareness	<p>On-line course on the general anti-money laundering legislation and practice tips on what we need to watch out in relation to anti-money laundering and sanctions.</p>	1
2014	Anti-Money Laundering Hong Kong Fee Earner Course	<p>The definitive anti money laundering program for fee earners in leading Hong Kong and international law firms. This course fits in with our firm's anti-money laundering procedures and aims to:</p> <ol style="list-style-type: none"> 1. help you understand what anti-money laundering is about and why it is relevant to you; 2. help you understand why you need to be aware of the issue of terrorist financing; 3. give you an awareness of the law relating to money laundering and terrorist financing; 4. show how our firm's anti-money laundering procedures apply and help you recognise and deal with transactions and other activities which may be related to money laundering or terrorist financing; and 5. test that you have understood the points covered. <p>This course has been designed to teach you anti-money laundering best practices and procedures, as defined by 14 of the world's leading international law firms and 11 of Hong Kong's leading firms and in line with (a) Practice Direction P that has been drawn up by The Hong Kong Law Society and (b) applicable legislation in Hong Kong.</p> <p>This includes:</p> <ol style="list-style-type: none"> 1. knowing how to verify a client's identity and conduct client due diligence measures; 2. learning how to recognise and deal with transactions and other activities which may be related to money laundering by being alert to suspicious behaviour and reporting such activities in the right way; 3. understanding Hong Kong-specific requirements; and 4. being clear on our firm's own internal policies and procedures. <p>By completing this course you will have learnt how to comply with all critical statutory requirements and will be able to play your part in the fight against money laundering.</p>	1
2014	Bermuda's Anti-Money Laundering Legislation: Update	<p>The in-house course, presented by Neil Van Eijk of Conyers Dill & Pearman Limited, summarized the recent changes to Bermuda's anti-money laundering and anti-terrorist financing legislation. The course focused on the new regulations that apply to lawyers and law firms and included best practices for lawyers to follow in taking on new clients and instructions and the new policies and procedures that lawyers must comply with.</p>	1

2014	BLG 101/National CLE - Protecting against Money Laundering	<p>A client wishes to or retains the Firm on a matter and provides you with a cash retainer of \$15,000. The Firm is asked to act in an oddly structured business deal. What now? What are your obligations?</p> <p>This course reviews current rules of professional conduct, legislation and firm policies that protect against money laundering.</p> <p>This is part of BLG 101 and is designed for all first-year associates and lateral hires</p>	2
2014	Customer Due Diligence and Record-Keeping Requirements for Anti-Money Laundering and Counter-Terrorist Financing and Sanctions	<p>On-line course on the customer due diligence and record-keeping requirements in relation to anti-money laundering and issues in relation to sanctions.</p>	1
2014	Money Laundering Investigations	<p>The course was delivered by Jerome Malysh CPA-CGA. It was aimed at lawyers doing Civil Forfeiture Act litigation for the Ministry of Justice - 8 lawyer from the civil forfeiture litigation unit attended.</p> <p>The focus was on how money laundering and remedies under the Civil Forfeiture Act intersect and how a civil litigator would put together a case with the investigations done by police.</p> <p>The course reviewed topics such as:</p> <ul style="list-style-type: none"> The Whole Point of Forfeiture Laws Money Laundering Cash vs Business Transaction and the legal need to account Identifying illegal schemes Civil Forfeiture Act sections and definitions Bank Operations and FINTRAC records/obligations Case/File Development Process including presentation to the court 	5
2014	Protecting Against Money Laundering (video version - recorded December 3, 2013)	<p>A client wishes to or retains the Firm on a matter and provides you with a cash retainer of \$15,000. The Firm is asked to act in an oddly structured business deal. What now? What are your obligations?</p> <p>This course reviews current rules of professional conduct, legislation and firm policies that protect against money laundering.</p> <p>This is part of BLG 101 and is designed for all first-year associates and lateral hires</p>	1
2014	Regulatory Compliance for Financial Institutions	<p>Learn how to develop a risk management framework to avoid costly consequences</p> <p>Discover how to prepare for compliance with the new anti-spam legislation</p> <p>Benefit from insights into the latest OSFI corporate governance guidelines</p> <p>Explore consumer protection developments impacting the financial services industry</p> <p>Find out how to navigate emerging challenges in privacy compliance</p> <p>Examine how to balance priorities under a Basel III framework</p> <p>Establish a proactive financial crisis action plan</p> <p>Learn about best practices for ensuring FATCA compliance</p>	1

		Test the effectiveness of your anti-money laundering regime	
2014	Regulatory Hot Topics for the Financial Services Industry in 2014	<p>With nearly 40 percent of the Dodd-Frank Act yet to be implemented, numerous new consumer protection requirements taking effect this year, and the continued strong focus on anti-money laundering and sanctions compliance, regulatory compliance will remain a major challenge for the financial services industry in 2014.</p> <p>Join Protiviti's Tim Long, Scott Jones, John Atkinson, Steven Stachowicz and Nicole Weber on Wednesday January 29, as they help compliance, risk and internal audit professionals identify some of the important regulatory issues and developments for 2014 that will need to be included in internal audit and compliance programs</p>	2
2014	Risk Refresher 2013/01	Money laundering, the Clearance Centre, Gifts and Hospitality and Test.	1
2014	SAR Reporting	Henry Komansky, Chief Compliance Officer at Clarien Bank Limited, provided a lecture on Suspicious Activity Reporting ("SAR") filing obligations to the Bermuda Financial Intelligence Agency where a person has knowledge or suspicion of another engaging in money laundering or terrorist financing. Mr. Komansky clarified what constitutes reportable suspicious transactions and summarized the obligations under internal and external SAR. The lecture also summarized the offences related to tipping-off and institutions' obligations related to record keeping and staff training.	1
2014	Think twice quality and risk compliance training	<p>This highly interactive 6 module e-learning communicates the joint responsibility and commitment everyone at Deloitte has to protect the reputation and integrity of our firm. Too often, organizations end up as headline news because of a lack of understanding or careless non-compliance in the areas of Privacy, Client Confidentiality, Insider Trading, Data Security, Corruption & Money Laundering and entering into Business Relationships. Think twice helps learners recognize that ultimately, accountability rests with each of us.</p> <p>The course challenges learners to first, stop and "Think twice" when confronted with risky situations in order to carefully make a wise decision. Second, to understand that mistakes can and will happen- rather than concealing them, recognize them and ask for help. Lastly, the course places emphasis on knowing where to go for help, and provides references to contacts, policies, additional courses and information at the end of each module.</p>	5
2014	Vancouver Compliance Forum	<p>Session 1 - Regulatory Update and Compliance Hot Topics</p> <p>Session 2 - CRM 2: Cost Disclosure and Performance Reporting - Preparing Now for 2016</p> <p>Session 3 - Implications of FATCA for Canadian Portfolio Managers and Investment Fund Managers</p> <p>Session 4 - Know-Your-Client (KYC) and Suitability Obligations</p>	4

		<p>Session 5 - FINTRAC Update: Compliance with Anti-Money Laundering Requirements Session 6 - Compliance & Technology - Trends & Issues</p>	
2015	2015 FINRA Annual Conference-Washington DC	<p>May 27 - 29, 2015</p> <p>FINRA's Annual Conference includes nearly 40 sessions designed to help you navigate toward a strong culture of compliance—whether you're new to your compliance role or a seasoned veteran.</p> <p>In response to attendee feedback, this year's Annual Conference builds upon important regulatory updates to provide compliance officers, legal professionals, branch managers and others with the tools to develop and maintain an effective compliance framework.</p> <p>WEDNESDAY MAY 27, 2015 Concurrent Sessions I: 1:45 p.m. - 3 p.m.</p> <p>Exploring Social Media, Technology Trends and Their Impacts Enforcement: Case Studies Small Firm Focus: Supervision from Procedures to Implementation Effective Approaches to Risk Management</p> <p>Concurrent Sessions II: 3:15 p.m. - 4:30 p.m.</p> <p>Current Key Regulatory Initiatives in the Fixed Income Markets Institutional Firm Hot Topics Detecting and Fighting Fraud: Present Day Stories Senior Investors: The Graying of America [...]</p> <p>THURSDAY, MAY 28 [...] Concurrent Sessions V: 11:15 a.m. - 12:15 p.m.</p> <p>Small Firm Focus: Nuts and Bolts of Tri-Part Arrangements Outside Business Activities: Key Requirements and Leading Practices Enhancing Anti-Money Laundering Procedures Investment Banking: Compliance and Regulatory Issues Preparing for Crowdfunding and the JOBS Act</p> <p>Concurrent Sessions VI: 3 p.m. - 4 p.m.</p> <p>Medium and Large Firm Focus: Common Examination Findings and Lessons Learned Top Technology Challenges (NO CLE) Market Regulation Priorities: Detecting and Preventing Misconduct Back to Compliance Basics Program: Suitability Qualification Exam Restructure and Web CE (NO CLE)</p> <p>Concurrent Sessions VII: 4:15 p.m. - 5:15 p.m.</p>	1

		<p>Understanding the Arbitration and Expungement Process</p> <p>Ethics and Professional Responsibility for Compliance and Legal Professionals (NO ETHICS CLE)</p> <p>Due Diligence: The Life Cycle of a Product</p> <p>Small Firm Focus: Common Examination Findings and Compliance Practices: What Works and What Doesn't</p> <p>Back to Basics Compliance Program: AML</p> <p>[...]</p>	
2015	AML and Financial Crime Conference	The ACAMS conference is the largest faculty of financial crime and anti-money laundering industry experts offering the most extensive selection of educational tracks in these fields in North America. Sessions include sector-specific educational sessions as well as sessions on organized crime trends, AML advanced training and emerging technologies. Please see link below for further details and a complete list of the proceedings, sessions and faculty.	2
2015	AML/ATF Training	The law firm of Wakefield Quin Limited provided an in-house lecture on Bermuda's current Anti-Money Laundering and Anti-Terrorist Financing laws and regulations, including an overview of the Bermuda Monetary Authority's risk-based approach, regulatory compliance matters, due diligence requirements applicable to different legal entities, reporting obligations for suspicious activities, and implications on attorney-client privilege. The lecture also focused on what activities typically constitute, and what activities do not typically constitute, money laundering and terrorist activities.	1
2015	Anti-Bribery and Corruption Breakfast presented by PwC and Dentons	<p>Panel 1: A practical perspective on the current anti-corruption landscape</p> <p>Key elements of Canada's foreign and domestic corruption laws, the relevance of money laundering and proceeds of crime law and how to navigate high-risk situations.</p> <p>Panel 2: Hot topics and what's in the pipeline</p> <p>Latest developments in anti-bribery and corruption regime and internal investigations – do's and don'ts, practical approaches to investigations from receipt of a complaint through its resolution.</p>	21
2015	Anti-money Laundering	Anti-money laundering legislation: overview, primary offences and disclosure obligations. Group work included defining 'knowledge and suspicion'. A second plenary session looked at risk-based compliance mechanisms and emerging typologies. The final group work involved a further case study embracing new typologies, recognition and anticipation. Course attendance broken into small groups of three.	1
2015	Anti-Money Laundering eTutorial	Under the Money Laundering Regulations 2007 (the "Regulations") the Firm is required to train all relevant staff in our Anti-money Laundering Procedures, the Regulations and the criminal offences under Part 7 of the Proceeds of Crime Act 2002 and the Terrorism Act 2000. We have developed a tailor-made e-tutorial to help you complete this compulsory training from your own PC. Please complete the e-tutorial as soon as	1

		<p>possible and, in any event, not later than Friday 23 October.</p> <p>At the end of the eTutorial you will be asked to complete a short test. You should complete the quiz in one sitting otherwise the system may register your score as a "fail". On completion of the e-tutorial, qualified lawyers will be credited with CPD. Please note that in order to be registered as having completed the e-tutorial you will need to work through the course in its entirety.</p>	
2015	Bitcoin Regulations	In this session, we will review 1) Introduction to Bitcoin; 2) The Economics of Bitcoin; 3) The Technology Behind Bitcoin; and 4) The Regulations Affecting Bitcoin, including: (a) Bill C-31, Amends Canada's Proceeds of Crime (Money Laundering) and Terrorist Financing Act, S.C. 2000, c. 17 and (b) Tax Regulation.s	3
2015	Compliance with AML/ATF Regulations	Kim Wilson, Supervisor of the Barristers & Accountants AML/ATF Board, provided a lecture summarising the new regulations under Bermuda's anti money laundering and terrorist financing regime that lawyers should be aware of, including regulations regarding client due diligence, ongoing monitoring, internal controls and systems, suspicious activity reporting, reliance on third party information, training and record keeping. The lecture also included examples of common red flags lawyers should be aware of in the client intake process.	1
2015	Compliance with Bermuda's AML/ATF Regulations	Kim Wilson of the Barristers' AML/ATF Board provided a course update on Bermuda's revised AML/ATF Regulations that apply to all practising lawyers in Bermuda. Ms. Wilson provided a summary of the Regulation's risk based approach and examples of how lawyers can mitigate against money laundering and terrorist financing, including assessing geographic, client and service risk. The course also provided a summary of approved client intake procedures and monitoring obligations of continuing clients. The course concluded with recent examples of reported money laundering schemes in Bermuda and in North America and Europe.	1
2015	Hot Issues in Vancouver & AML Trends	In this session, speakers will discuss topical issues in anti-money laundering law (AML) and other issues in financial crime. Our speakers will include representatives from the RCMP, FINTRAC and the Association of Certified Anti-Money Laundering Specialists. Our speakers will explain the current status of AML, the trends that lawyers will see in practice and the future of financial crime and legal practice.	1
2015	IAP Annual Conference: White Collar Crime, Corruption and Money Laundering	The International Association of Prosecutors annual conference is a four full day conference with sessions relevant to the work of prosecutors around the world. This year's conference focussed on white collar crime, corruption and money laundering. The sessions on the first day focussed on proceeds of crime, international cooperation in prosecutions, expert evidence and cybercrime offences. Second day sessions focussed on terrorism offences, banking offences, fraud and tax evasion. Day three offered sessions for groups of	4

		prosecutors specializing in war crimes, environmental offences and Francophone prosecutions. The final day focussed on tax crimes, corruption and money laundering.	
2015	Industry Regulation & Taxation (IRT)	<p>1. Ottawa Update</p> <p>2. IRT Standing Committees – Discussion Items & Updates</p> <p>A. Pensions Consultations - Discussion</p> <ul style="list-style-type: none"> • Harper Government Moves to Streamline Administration and Supervision of Pooled Registered Pension Plans http://www.fin.gc.ca/n15/15-068-eng.asp • Consultations on a Voluntary Supplement to the Canada Pension Plan http://www.fin.gc.ca/activity/consult/vscpp-svrpc-eng.asp • Ontario Retirement Pension Plan (ORPP) – Status and Next Steps • Quebec Proposes Pension Funding Reform for Private Sector Plans <p>B. Securities Regulation Consultations - Discussion</p> <ul style="list-style-type: none"> • Ontario Gov Consultation on Financial Planning • New amended regulations to the Proceeds of Crime (Money Laundering) and Terrorist Financing Act (PCMLTFA) • CSA Consultation on Mandating a Summary Disclosure Document for Exchange-Traded Mutual Funds and its Delivery <p>C. Market Infrastructure Consultation – Discussion</p> <ul style="list-style-type: none"> • CSA and IIROC Proposed Order Protection Rule <p>D. Tax Standing Committee - Update</p> <ul style="list-style-type: none"> • Trust Loss Restriction Rules Amended Relief • PMAC Submission to CRA on FATCA Reporting <p>E. International & Other Regulatory Issues - Update</p> <ul style="list-style-type: none"> • Systemic Risk Regulation -- IOSCO Backs Away from Designating Asset Managers as SIFIs, Acknowledges They Pose No Systemic Risk [...] 	1
2015	Industry Regulation & Taxation Committee (IRT)	<p>1. Ottawa Update</p> <p>2. IRT Standing Committees – Discussion Items & Updates</p> <p>A. Pensions Consultations - Discussion</p> <ul style="list-style-type: none"> • Harper Government Moves to Streamline Administration and Supervision of Pooled Registered Pension Plans http://www.fin.gc.ca/n15/15-068-eng.asp • Consultations on a Voluntary Supplement to the Canada Pension Plan http://www.fin.gc.ca/activity/consult/vscpp-svrpc-eng.asp • Ontario Retirement Pension Plan (ORPP) – Delayed 	1

		<p>Implementation and Definition of Comparable Plan Revised</p> <p>B. Securities Regulation Consultations - Discussion</p> <ul style="list-style-type: none"> • CSA Proposed Amendments to Exempt Market Reporting • Proposed amended regulations to the Proceeds of Crime (Money Laundering) and Terrorist Financing Act (PCMLTFA) • CSA Consultation on Mandating a Summary Disclosure Document for Exchange-Traded Mutual Funds and its Delivery • Ontario Gov Consultation on Financial Planning <p>C. Market Infrastructure</p> <p>D. Tax Standing Committee</p> <p>E. International & Other Regulatory Issues - Update</p> <ul style="list-style-type: none"> • Ministry of Labour call for submissions re ESA reform <p>3. Other Updates</p>	
2015	Industry Regulation & Taxation Committee (IRT)	<p>TOPICS</p> <p>1. Ottawa Update</p> <p>2. IRT Standing Committees – Discussion Items & Updates</p> <p>A. Pensions Consultations – Recent Submissions</p> <ul style="list-style-type: none"> • PMAC Submission on Proposal Streamline Administration and Supervision of Pooled Registered Pension Plans • PMAC Submission on Consultation on a Voluntary Supplement to the Canada Pension Plan <p>B. Securities Regulation Consultations - Discussion</p> <ul style="list-style-type: none"> • Ontario Gov Consultation on Financial Planning • CSA Proposed Amendments to Exempt Market Reporting • Cooperative Capital Markets Regulatory System – Revised Draft Legislation and Commentary <p>• T+2 Settlement – Update</p> <p>Recent Submissions:</p> <ul style="list-style-type: none"> • PMAC Submission on Proposed amended regulations to the Proceeds of Crime (Money Laundering) and Terrorist Financing Act (PCMLTFA) • PMAC Submission on Summary Disclosure Document for Exchange-Traded Mutual Funds and its Delivery <p>C. Market Infrastructure</p> <p>D. Tax Standing Committee</p> <p>E. International & Other Regulatory Issues - Update</p> <ul style="list-style-type: none"> • Ministry of Labour call for submissions re ESA 	1

		<p>reform</p> <p>3. Other</p> <ul style="list-style-type: none"> • Cluster Munitions Investment Prohibitions 	
2015	Legal Aspects of Doing Business With China	<p>The course will examine the legal aspects of various forms of business interactions between China and Canada including foreign direct investment, real-estate investment, corporate transactions and financial transactions (including laws on anti-money laundering). The course will also examine the changing laws and regulations on business immigration with a focus on the BC PNP program, Canadian citizenship and the maintenance of Permanent Resident status.</p> <p>The course will include instruction on ethics and professional responsibility, including properly identifying clients and agents and professional ethics in advising businesses.</p>	5
2015	McCarthy Tétrault Advance: Beyond Signatures and PINs - Developments in Authentication Methods	<p>Beyond Signatures and PINs - Developments in Authentication Methods - October 15, 2015</p> <p>The traditional use of signatures and PINs to authenticate payments is starting to be replaced by a range of options, from thumbprint login for Apple Pay, to the use of wearables, to tokenization. This session discusses the various legal issues raised by novel authentication methods, ranging from privacy and security concerns, issues relating to compliance with anti-money laundering requirements, to contractual requirements.</p>	7
2015	Money Laundering	<p>This session is an overview of money laundering and terrorist financing in Canada. This includes a review of the Process of Crime (Money Laundering) and Terrorist Financing Act (PCMLTFA), including specifics such as who is subject to the PCMLTFA, client identification and due diligence, reporting, record keeping and compliance. Also addressed is the requirements under the Criminal Code, United Nations Act regulations and Special Economic Measures Act regulations. A review of Canada (Attorney General) v. Federation of Law Societies of Canada will also be discussed.</p> <p>This presentation is worth .75 hour of credit towards your Continuing Professional Development ("CPD") requirement for 2015 (0.5 hour of which will involve aspects of professional responsibility and ethics, client care and relations)</p>	1
2015	National CLE Program - Protecting Against Money Laundering	<p>A client wishes to or retains the Firm on a matter and provides you with a cash retainer of \$15,000. The Firm is asked to act in an oddly structured business deal. What now? What are your obligations?</p> <p>This course reviews current rules of professional conduct, legislation and firm policies that protect against money laundering.</p>	12
2015	New & Lateral Lawyer Training	<p>The topics covered in this seminar included the business of law, firm finances, risk management and</p>	1

		policies, conflicts and firewalls, proceeds of crime and money laundering matters.	
2015	PMAC Compliance Officers' Network (CON)	<p>COMPLIANCE OFFICERS' NETWORK AGENDA DATE CHANGE: Wednesday September 16th, 2015 2:30 – 4:30 PM EDT [...] Cathy Tuckwell, Chief Compliance Officer (PC), 1832 Asset Management L.P. [...]</p> <p>III. PRESENTATIONS A. An Overview of the Proposed Amendments to the AML Regulations – What's Ahead! Speaker: Rachel Manno, Associate, Financial Services, Osler [...]</p> <p>IV. MEMBERS QUESTION/ANSWERS DISCUSSION – ALL [...]</p> <p>V. REGULATORY UPDATE [...]</p> <ul style="list-style-type: none"> • FINTRAC Releases: o Guidance: Guidance on the Risk-Based Approach to Combating Money Laundering and Terrorist Financing o Report: Assessment of Inherent Risks of Money Laundering and Terrorist Financing in Canada • Common Reporting Standard Implementation Handbook <p>VI. UPCOMING COMPLIANCE DEADLINES [...]</p>	1
2015	PPSC: 2015 ORO Annual National Prosecution Conference	<p>Ontario PPSC Training Summary</p> <p>This 2-day training event which will be accessible to BC PPSC, delivered via webinar from our PPSC office in Ontario, covers a variety of criminal procedural and substantive law subject matters including:</p> <ul style="list-style-type: none"> - Case management from the perspective of a judge. - A case study on money laundering and the legal implications of prosecuting a lawyer, including law office searches, restraint orders and gathering evidence from a foreign state. - The state of marihuana laws and the medicinal marihuana regulatory regime. - The law of informer privilege. - The law on co-actors exception to the hearsay rule. - Recent trends in Charter litigation including a discussion on reasonable expectation of privacy - A review of Bill C-13. - Prosecutorial discretion – an discussion on ethics, Crown independence and accountability* - Communicating with the media - Case study on a terrorism prosecution, including ethics, questions of national security privilege and appointment of amicus* - Review of law on white collar crime - The reasonable but vigorous prosecutor* - The law of entrapment - Appellate advocacy <p>The presentation is being offered by several different legal professionals, including a judge and senior counsel and the Director of Public Prosecutions.</p>	16

		* The subject matter will include a minimum 2 hours of ethics.	
2015	Risk Management Education Programme Elective Course - Anti-Money Laundering	This course provides an overview to enable lawyers to have sufficient awareness of the International and Local Anti-Money Laundering Legislation Regulatory framework; aims to help firms ensure that they understand and comply with local laws and regulations; and help firms prepare for future evolution as money; and laundering activities continue to become more sophisticated.	1
2015	Risk Management Training	1) Go through the Risk Management Handbook 2) Review procedures for compliance with Anti-Money Laundering laws 3) Review "Ethical Dilemmas and Client Management Issues" 4) Other issues	1
2015	Seminar for ACAMS-Vancouver Chapter: Anti-Money Laundering Monetary Appeals and Privacy Law Issues in the Investigation Context	This session reviewed recent jurisprudence relating to anti-money laundering, administrative monetary penalties, and strategies to minimize risk of penalties and to maximize prospects of a successful appeal. It also reviewed privacy laws and disclosure issues in respect of AML investigations and reporting detected illegal activity to authorities.	3
2015	STEP Asia Conference 2015	- Automatic Exchange of Information & its impact on legal practice - FATCA - Anti-money laundering (AML) regimes in Asia - Introduction of common reporting standard (CRS) - Succession & inheritance planning Under Sharia Law - Global AML & anti-corruption regimes - OECD's base erosion and profit shifting (BEPS) initiative - Insurance, partnership, company & trust planning - Philanthropic gift planning - Facilitating family meetings & dispute resolution - Cross border family planning - Divorce: Shopping for a jurisdiction - Managing trustee risk - Private trust companies - International probate disputes - Mental capacity - Private trust companies & family offices	3
2016	(Fall16) Inside the Investigation: The Wolf of Wall Street	This presentation will take you inside the actual FBI investigation of Jordan Belfort, the self-proclaimed "Wolf of Wall Street." Mr. Belfort's rise to power and subsequent arrest and conviction were chronicled in the movie, "The Wolf of Wall Street." The movie was directed by Martin Scorsese and starred Leonardo DiCaprio. Gregory Coleman, our presenter for this session, was portrayed by Kyle Chandler. You will hear intimate details of Mr. Belfort's rise to prominence and how Mr. Coleman's team at the FBI subsequently brought down one of America's most notorious boiler-room stock fraudster. Mr. Coleman retired from the FBI with over 25 years of experience investigating financial crimes and money laundering. Mr. Coleman specialized in complex stock market manipulation and international money laundering investigations with a special	2

		<p>emphasis on investigations where the proceeds of crime were laundered using offshore shell corporations and bank accounts. As the case agent in charge of those investigations, Mr. Coleman was responsible for the overall direction of all investigative activities, including the tracing of illicit funds, witness interviews, confidential source development, and document analysis. Now retired, Mr. Coleman has spoken to audiences in fourteen countries.</p>	
2016	(RME)Risk Management: Money Laundering, the Hong Kong Solicitor and Practice Direction	<p>Money laundering is an international concern, particularly for lawyers. Even with my small practice, I have been 'targeted' (to quote the RCMP officer to whom I reported this matter) by a duo working together from Kuala Lumpur, Malaysia and Kelowna. They emailed me in Vancouver. This course is particularly relevant and inter alia, analyzes Hong Kong's framework of anti-money laundering and anti-terrorist legislation for legal practitioners (I have a HK practice certificate). Definitions were outlined and discussed, together with concerns which we must be aware of for designated non-financial business and professions. As practical examples, specific cases (with their citations) were also analyzed, along with 'Suspicious Transactions Reports' and solicitor's legal obligations. The lecturer, Anne Carver, has practised and lectured in Hong Kong for many years and is currently an honorary lecturer with The Chinese University.</p>	2
2016	2016 Fall International Conference, Washington D.C.	<p>[...] CONFERENCE AGENDA [...]</p> <p>TUESDAY, OCTOBER 25 [...]</p> <p>10:00 am – 11:00 am Inside the Investigation: The Wolf of Wall Street Presenter: Greg Coleman; Special Agent, (Retired) FBI</p> <p>This presentation will take you inside the actual FBI investigation of Jordan Belfort, the self-proclaimed "Wolf of Wall Street." Mr. Belfort's rise to power and subsequent arrest and conviction were chronicled in the movie, "The Wolf of Wall Street." The movie was directed by Martin Scorsese and starred Leonardo DiCaprio. Gregory Coleman, our presenter for this session, was portrayed by Kyle Chandler. You will hear intimate details of Mr. Belfort's rise to prominence and how Mr. Coleman's team at the FBI subsequently brought down one of America's most notorious boiler-room stock fraudster.</p> <p>Mr. Coleman retired from the FBI with over 25 years of experience investigating financial crimes and money laundering. Mr. Coleman specialized in complex stock market manipulation and international money laundering investigations with a special emphasis on investigations where the proceeds of crime were laundered using offshore shell corporations and bank accounts. As the case agent in charge of those investigations, Mr. Coleman was responsible for the overall direction of all investigative activities, including the tracing of illicit funds, witness interviews, confidential source development, and</p>	2

document analysis. Now retired, Mr. Coleman has spoken to audiences in fourteen countries.

[...]

11:00 am – 11:30 am Networking Break
11:30 am – 12:30 pm Scandal Panel: Detecting, Catching and Investigating Global Fraud

Moderator: Dan Ray; Hemming Morse LLP (San Francisco, California, USA – TIAG)

Panelists:

- Bill Bock; Kroger, Gardis & Regas, LLP (Indianapolis, Indiana, USA – TAGLaw)
- Russell Brown; Lehman Brown (Beijing & Shanghai, China - TIAG)
- Lenny Samuels; Berger Singerman LLP (Florida, USA – TAGLaw)

Earlier in the morning we will have heard from a seasoned law enforcement officer who helped investigate a legendary fraudster. In this session, one of our TIAG members, also a former FBI agent, will moderate a session pulling together TAGLaw members who have represented parties affected by some of the most notorious scandals including the Bernie Madoff Ponzi scheme and the doping investigation of Tour de France champion Lance Armstrong. We will also hear from TIAG members who are involved in active Forensic practices and learn how they help their clients fight fraud on many fronts.

We will discuss and analyze a number of topics including:

- Inducing Cooperation without Subpoena Power
- Ponzi Schemes
- Corruption in Sports and Entertainment
- Forensic Investigation
- Enforcement

12:30 pm – 2:00 pm Lunch

Networking Lunch Tables

- Insolvency and Secured Transactions
- International Arbitration
- Scandal Panel (2)
- TAG Tax

2:00 pm – 3:00 pm Afternoon "Menu" Sessions

Choice 1: How Cyber Security Audits and Assurance Services Will Change Your Firm and the Professions Co-Presenters:

- John Farley; Vice President and Cyber Risk Consulting Practice
Leader; HUB International Risk Services Division ("Best" Friends of TAG)
- William (Bill) Harrington; FGMK (Chicago, Illinois, USA - TIAG)

At previous conferences we have analyzed the ever-changing topic of cyber security and how firms should be cognizant of the risks surrounding their data. While that perspective will never lose relevance, in this session we present another for consideration. Cyber security is changing the trajectory of your firm and the legal and accounting professions from a business development perspective.

		<p>Many firms already see this paradigm shift from traditional services and are expanding their practices to include various cyber security centric and risk management areas. Some of these areas include advisory services, cyber security audits, risk management, in-house training and even post-breach management and compliance. What investments in technology and human capital are needed to make this shift? How can you leverage your firm's experience, reputation and strategic partnerships? Finally, is this a path for all firms, is this more suitable for boutiques or is each firm a unique situation to be carefully analyzed? During this session we will also analyze and dissect the anatomy of a data breach allowing firms to understand any risks in their systems or those of their clients.</p> <p>Choice 2: Understanding Global Anti-Corruption Policies and Opportunities for Member Collaboration</p> <p>Co-Presenters:</p> <ul style="list-style-type: none"> • John Hove; Scopelitis, Garvin, Light, Hanson & Feary (USA - TAGSP) • Eric McClafferty; Kelley Drye & Warren LLP (Washington D.C. - TAGLaw) <p>Global corruption continues to be prevalent in spite of significantly expanded enforcement. The United States Foreign Corrupt Practices Act of 1977 (FCPA), the United Kingdom Bribery Act of 2010 (UKBA) and comparable legislation in many other countries attempt to cast a wide and powerful net to prevent corruption and bribery.</p> <p>Navigating these laws presents a number of issues for lawyers and accountants who advise their clients on compliance matters. The complexity of these issues grows exponentially when a client's activities have a multi-jurisdictional footprint. John Hove and Eric McClafferty, both TAG Alliances members who are experts in the anticorruption field, will discuss and analyze a number of critical issues related to anti-corruption compliance and enforcement.</p> <p>Additionally, this session will feature ways that TAG Alliances members can leverage the multidisciplinary strength of the organization to help solve client problems and create collaborative business opportunities between TAG Alliances members.</p> <p>Focus points of this session include:</p> <ul style="list-style-type: none"> • Detecting and preventing bribery in various scenarios and settings; • Typical situations and possible responses; • Internal investigations • Emphasis on individual liability; • Ensuring adequate internal controls; • Ethical issues in anti-corruption investigation and reporting; and • Collaboration between TAG Alliances members in the anti-corruption space. <p>[...]</p>
2016	2016 FINRA Annual Conference	2016 FINRA Annual Conference Session Descriptions and Times 1

[...]

10:45 – 11:45am Evolving Role of a Compliance Professional

The compliance role has become more demanding given increasing expectations from regulators, Congress and the public, and the challenges faced when having to balance these with the expectations of various internal stakeholders. Separation of the second and first lines of defense is becoming much more challenging. Join FINRA staff and industry practitioners as they discuss how firms are addressing the changes to the compliance function. Participant Level: Advanced

[...]

2:30 – 3:30 pm Issues and Trends in AML Monitoring

This program provides guidance on suspicious activity monitoring and other AML topics. Panelists address effective steps to combat money laundering, and present an overview of standards and issues, with an emphasis on recent developments and case law. Designed for firms of all sizes, the program covers frequently asked questions and concerns. The interactive session is designed to help attendees keep pace with regulatory priorities and expectations.

Participant Level: Intermediate, Advanced

[...]

8:45- 9:45 am Plenary: Ask FINRA Senior Staff

FINRA senior staff provides an update on regulatory key issues, enforcement, market regulation programs, as well as other important topics facing the industry. Panelists address questions relating to the examination program, effective compliance practices, the implication of new and pending FINRA rules, and other important issues. Note: firm-specific questions can be discussed one-on-one with FINRA staff during conference Office Hours. Participant Level: All

[...]

10:00 – 11:00 am Fraud Detection and Prevention:

Practical Considerations

This session focuses on recent or noteworthy fraud cases. FINRA staff and industry panelists highlight emerging trends in securities fraud, provide tips to identify potential “red flags,” and discuss who to contact if a fraudulent scheme is suspected. Participant Level: All

[...]

1:45 – 2:45 pm Ethics in the Financial Industry

High ethical standards are critical to maintaining the public's trust in financial markets and in the investment profession. This session is designed to educate attendees on the standards of ethical behavior specific to the financial services industry. Panelists provide examples and case studies of actions considered to be misconduct or illegal. Panelists also discuss how to establish effective practices with regard to maintaining ethical standards of conduct within your organization. Participant Level: All

		<p>[...]</p> <p>4:15 – 5:15 pm Plenary: Compliance and Legal Trends Join us for a special session with senior leaders as they discuss key issues affecting the regulatory landscape. Panelists discuss trends, key focus areas and strategies that are shaping the industry. They share their thoughts on how these changes will affect compliance and how firms are evolving and responding to business, regulatory and technology issues. Participate Level: All [...] 10:00 – 11:00 am Regulatory Reporting Requirements This session focuses on regulatory requirements and firm practices related to reporting and disclosure. FINRA panelists highlight key reporting requirements, including requirements for maintaining Forms U4 and U5, customer complaint reporting obligations and FINRA Rule 4530 reporting obligations. Participant Level: Beginner, Intermediate [...]</p>	
2016	AML & Fin Crime Conference Cda-Navigating a Highly Challenging Regulatory Landscape	The conference focused on navigating the highly challenging regulatory landscape of financial crime compliance in Canada specifically focusing on an "intense examination of Canadian-specific issues, told from the perspectives of Canada's top regulators, compliance officers and law enforcement investigators." A major component throughout was the Proceeds of Crime (Money Laundering) and Terrorist Financing Act and its regulations, with particular emphasis on updates to the legislation and its application in relation to high risk areas such as human trafficking, cyber crime, real estate base money laundering.	1
2016	AML and Financial Crime Conference	The ACAMS conference held annually in Las Vegas is the largest and most exhaustive Financial and anti-money laundering conference held in North America. It covers US, Canadian and international AML, financial crime and proceeds of crime matters. Sessions cover some substantive legal requirements, but can be more focused on procedural matters. Sessions meeting CPD requirements include Aligning AML Programs to Regulatory Expectations, Crafting Auditing Processes to Strengthen Sanctions Oversight, Compliance Models to Mitigate Emerging FinTech Sector Risks, Addressing Compliance Challenges in Correspondent Banking and Cross Border Payment and others. See attached conference program and proceedings.	1
2016	Anti-corruption, Economic Sanctions and Anti-Terrorism Compliance for Osler Lawyers	Anti-corruption, Economic Sanctions and Anti-Terrorism rules apply to us in addition to our Anti-Money Laundering compliance obligations when we act for and accept retainers from clients. This session is part of the Firm's risk management curriculum for our lawyers. The objective is to provide a high-level summary of your professional obligations under the international trade statutes that apply to our clients and to Osler, by flagging certain types of clients that pose	4

		<p>potential risk for Osler running afoul of Canadian laws and regulations and the types of activities which may constitute a violation of the applicable laws.</p>	
2016	Anti-corruption, Economic Sanctions and Anti-Terrorism Compliance for Osler Lawyers - Corporate	<p>Anti-corruption, Economic Sanctions and Anti-Terrorism Compliance for Osler Lawyers: Anti-corruption, Economic Sanctions and Anti-Terrorism rules apply to us in addition to our Anti-Money Laundering compliance obligations when we act for and accept retainers from clients. This session is part of the Firm's risk management curriculum for our lawyers. The objective is to provide a high-level summary of your professional obligations under the international trade statutes that apply to our clients and to Osler, by flagging certain types of clients that pose potential risk for Osler running afoul of Canadian laws and regulations and the types of activities which may constitute a violation of the applicable laws.</p>	2
2016	Anti-Money Laundering	<p>Anti-Money Laundering is an increasingly pertinent topic for the legal industry. This session will aim to provide Legal Consultants with an overview of how money laundering regulations impact their obligations, how it can be spotted and what controls you can use to report and prevent money laundering. Practical examples will be provided throughout the session.</p> <p>The course will cover the following:</p> <ul style="list-style-type: none"> What is Money Laundering? Understand Basics of money laundering Appreciate the importance of having effective Anti-Money Laundering (AML) Controls Know Your Customer & Effective Customer Due Diligence Be in a better position to identify suspicious activity and know how to report Money Laundering Regulations / Acts What happens when you get it wrong? 	1
2016	Anti-Money Laundering	<p>There was a review of the anti-money laundering ("AML") requirements and procedures applicable to solicitors firms. The issues covered included the development of the local AML laws, key relevant provisions in the legislation and obligations of solicitors in AML context.</p>	1
2016	Anti-Money Laundering (AML) Canada	<p>This was an online course, with testing throughout and at the end, with materials relating to Canada's Anti-Money Laundering and Counter-Terrorist Financing legislation. Topics covered include: applicable legislation, client identification requirements, record keeping requirements, reporting of suspicious transactions, and sample cases.</p>	1
2016	Anti-Money Laundering Advanced Course	<p>This is the definitive anti-money laundering training for fee earners and support staff in leading UK law firms who regularly deal with financial transactions or matters with high money laundering risk. The course aims to help you understand:</p> <ul style="list-style-type: none"> - what money laundering is and how to recognise suspicious transactions; - what terrorist financing is and why you need to be aware of it; 	1

		<ul style="list-style-type: none"> - the UK legislation you need to be familiar with in regard to money laundering and terrorist financing, along with the relevant criminal offences; - how to conduct appropriate and risk-based client due diligence; and - how to apply the firm's anti-money laundering policies and procedures. <p>The course includes engaging real-life scenarios and exercise questions to test understanding of key points. By completing this course you will have learnt how to comply with all critical statutory requirements and will be able to play your part in the fight against money laundering.</p>	
2016	Anti-Money Laundering and Anti-Terrorist Financing Training	The course was provided by Wakefield Quin Limited's Group Compliance Officer and covered an in-depth overview of Bermuda's current anti-money laundering / anti-terrorist financing compliance and regulatory regime and the policies and procedures that law firms and lawyers must adhere to, including customer due diligence obligations (for a variety of corporate entities), reporting obligations (to compliance and reporting officers) and to Bermuda's Financial Intelligence Agency in relation to certain suspicious transactions. The course also included a discussion of current sanctions and the legal issues facing lawyers in relation to their compliance obligations under Bermuda's anti-money laundering / anti-terrorist financing regime.	1
2016	Anti-Money Laundering Training Session	Clyde and Co is legally obliged to ensure all appropriate staff, including those dealing with client money, receive anti-money laundering training. Falling foul of the Money Laundering Regulations will make you personally liable and can result in a two year prison sentence and/or a fine. This is irrespective of whether money laundering actually takes place. It is the Firm's policy that all lawyers and all personnel in certain identified business services sectors receive mandatory AML training. In conjunction with the Firm's AML & Compliance Manager, "Global Compliance" organises and oversees AML/CFT training for staff globally to ensure that the Firm complies with its regulatory obligations and procedures.	1
2016	Basics of Export Controls 2016 (Audio-only)	Basics of Export Controls 2016 [...] U.S. and multinational corporations, investors and even governments are increasingly affected by the range of U.S. laws and regulations governing international trade. The Commerce Department's Bureau of Industry and Security (BIS), the State Department's Directorate of Defense Trade Controls (DDTC), and the Treasury Department's Office of Foreign Assets Control (OFAC) and Financial Crimes Enforcement Network (FinCEN) each plays an important role in administering and enforcing the intricate web of restrictions governing trade in U.S. products and technologies, the trade-related activities of U.S. parties and the financial transactions that make them possible.	1

		<p>Understanding the potential scope and applicability of these various regulatory programs to global business operations is increasingly important in an era of heightened agency enforcement and enhanced penalties. And a thorough understanding of these various regulatory regimes is an essential foundation for developing an effective global trade compliance program.</p> <p>Aaron R. Hutman of Pillsbury Winthrop Shaw Pittman LLP and Kim A. Strosnider of Covington & Burling LLP will discuss:</p> <ul style="list-style-type: none"> • The basic elements of the export control regimes administered by BIS and DDTC • The various economic sanctions programs administered by OFAC • Key recent regulatory developments, including with respect to Cuba, Iran, Myanmar and Russia sanctions and U.S. export control reform • The overlap of sanctions and export control rules with anti-money laundering regulation and the role of financial institution "gatekeepers" • Enforcement trends <p>This briefing is scheduled as a review of the fundamentals before PLI's more advanced Coping with U.S. Export Controls and Sanctions 2016 program, being held on December 15-16, 2016 in Washington, D.C. Register for the two-day program and receive this briefing free as part of your registration.</p> <p>Speaker(s) Aaron R. Hutman ~ Pillsbury Winthrop Shaw Pittman LLP Kimberly A. Strosnider ~ Covington & Burling LLP</p> <p>Program Attorney(s) Amy Taub ~ Practising Law Institute [...]</p>	
2016	Changes To Bermuda's Anti-Money Laundering/Anti-Terrorist Financing Requirements	The lecture provided a summary of the material provisions of Bermuda's Proceeds of Crime Amendment Act 2015 (which amends Bermuda's anti money laundering and anti-terrorist financing laws), including the areas of client due diligence requirements, outsourcing of AML/ATF functions, and the consent provisions related to the filing of suspicious activity reports. The lecture also provided an overview of the new category of (and rules for) domestic politically exposed persons.	1
2016	CLEBC Advising BC Businesses (Editorial Advisory Board Meeting)	Editorial Advisory Board meeting to peer review revised content in all chapters of CLEBC publication Advising BC Businesses (print and online)for the 2017 update. Attendees: David Allard, David Jennings, William McFedridge and Terence Stewart. Meeting 10 am to 4 pm, December 6,2016. Topics included due diligence, Law Society Rules regarding money laundering, electronic money transfer and financing, use of trust cheques, certified cheques, and risks with financing transactions, etc. and Solicitors' Legal Opinions.	3

	Cybersecurity Awareness Seminar	Seminar presentation by Chris Mathers, former RCPM law enforcement officer, and expert on business crime, money laundering, compliance and information security. The presentation covered computer security risks, what criminals are targeting, and how to protect the firm and data of its clients.	2
2016	e-Learning course on The Act on the Prevention of Money Laundering and Financing of Terrorism (WWFT)	<p>As of 1 September 2015, the new WWFT Unit will be carrying out all identification under the The Act on the Prevention of Money Laundering and Financing of Terrorism (WWFT). Lawyers have an obligation to be familiar with The Act on the Prevention of Money Laundering and Financing of Terrorism (WWFT) and need to be able to identify and assist the WWFT Unit on a go forward basis. As a result of these new regulations, you are required to follow this e-learning course, completing the 8 modules and the accompanying test.</p> <p>?Once you start one of the 8 modules, you need to finish that module in one go. You're allowed three attempts. ?If you stop a module before finishing it, you will be graded unsatisfactory. ?If you fail a quiz, you'll need to retake that quiz. ?How long it takes you to complete a module is recorded. If you try to skip over or repetitively click any modules, you will be graded unsatisfactory. ?Most modules include annexes. Be sure to read the annexes carefully before starting the module. You will be quizzed on them. ?At the right side of this screen you'll find a progress bar. Once you pass a module the box will be green. ?After finishing all eight modules, please fill in the evaluation form.</p>	1
2016	Ethical Business Regulation	<p>Professor Chris Hodges has been speaking on Ethical Business Regulation at various conferences over the last few months.</p> <p>In early October, he spoke at the Regulatory Delivery International Conference in London. The conference was titled 'Shaping Business Environments for Global Growth and Prosperity' and was organised by the Department for Business, Energy and Industrial Strategy, together with Foreign and Commonwealth Office, World Bank Group, OECD, and Department for International Development.</p> <p>He then gave a talk at the Anti-Money Laundering Professionals' 5th Annual Anti-Bribery & Corruption Conference in London. In early November he presented to the Irish Health Products Regulatory Agency in Dublin and at the Irish Law Reform Commission's Annual Conference 2016 on Regulatory Powers and Corporate Offences, at Dublin Castle on 3 November.</p> <p>Christopher Hodges is Professor of Justice Systems, and head of the Swiss Re/CMS Research Programme on Civil Justice Systems, Centre for Socio-Legal Studies, University of Oxford. He is a Supernumerary Fellow of Wolfson College Oxford.</p>	1

2016	Follow the Money: Corruption, Money Laundering & Organized Crime	<p>This course includes 2 hours towards ethics/practice management</p> <p>The Conference will include presentations on reducing the risks of corruption, transnational money laundering, and organized crime in Canada with particular attention to large urban centers in British Columbia.</p> <p>The International Centre for Criminal Law Reform and Criminal Justice Policy brings together experts in law and law enforcement, provincial and municipal governance, academia, professional and private sector compliance, and investigative journalism.</p> <p>This 1-day conference will interest:</p> <ul style="list-style-type: none"> • Judges, lawyers and notaries • Law enforcement officials • Professionals including engineers, architects, urban planners, and accountants • Elected and non-elected government and local government officials • Private sector risk managers and consultants • Developers • Academics and students including those in law, commerce, governance, public policy, and international law <p>The Conference will also be available by webinar, incorporating a live video feed of the presenters and participants' questions. The webinar accommodates live questions and feedback through conference moderators and will be available to registrants after the event.</p>	14
2016	Global Financial Crime Update	HSBC Global Legal Learning Lab: live webinar presented by an external law firm to HSBC Global Legal Function providing a global update on anti-money laundering, sanctions, anti-bribery and corruption. This update included changes to regulations, directives and laws as well as an update on cases/enforcement actions. Also global trends and developments in tax evasion.	3
2016	Half Day Professional Development Session - November 2016	Two presentations: Behavioural Ethics (2 hours) and anti-fraud training (1 hour) re anti-money laundering. PowerPoint presentations are attached.	3
2016	Nothing to Hide: Unmasking the Anonymous Owners of Canadian Companies and Trusts"	<p>Two years have passed since Canada along with other G20 nations committed to lift the veil of secrecy on the ownership of companies and trusts. Despite bold pledges to improve transparency, Canada has taken very few concrete steps to do so. Companies and trusts can be set up with full anonymity and are easily misused to commit crimes and conceal assets.</p> <p>More than 70% of money laundering cases in Canada involve the use of companies, according to government estimates, and they are widely used to evade taxes and commit fraud. Most cases go undetected, and few are prosecuted due to the difficulty of obtaining information.</p>	5

		<p>TI Canada's latest report – Nothing to Hide: Unmasking the Anonymous Owners of Canadian Companies and Trusts – makes use of case studies and original research to demonstrate how lack of information on Canadian companies and trusts has left us vulnerable to exploitation by money launderers and other criminals. The report looks at the impact of this opacity on Vancouver's overheated real estate market, and how little is known about the owners of property and the origins of their capital. It makes a case for a public registry of beneficial ownership information, and recommends other concrete steps that the Government of Canada could take to rectify the current situation and uphold its international commitments.</p>	
2016	Opportunities For Fintech & Emerging Payments in UK and the EU	<p>Many deem the EU as a more favourable regulatory landscape for emerging payments than the US. If you're thinking of launching a payment product in the EU, this webinar will explain how it works, what are the opportunities and challenges, and how the EU differs from the US marketplace. While the webinar will focus on the UK landscape as a practical example, the scope of the webinar will include other EU jurisdictions as well.</p> <p>This webinar will take a look at:</p> <ul style="list-style-type: none"> • What is the EU and what jurisdictions are covered? • Which emerging payment products are growing in the EU? • The structure of EU payments laws and the types of payment licences in the EU – and the powers they convey. • How basic requirements under Anti-Money laundering, Data Security, and Consumer Protection laws differ from the U.S. • The option and challenges of obtaining licenses directly vs partnering with other licensed entities. • How "passporting" works – for expanding to other EU jurisdictions. 	1
2016	Regulatory Compliance for Financial Institutions	<p>A high level overview of this year's developments and trends in Canadian financial services compliance. Major topics include banking and payments regulation, privacy, consumer protection, anti-money laundering</p>	2
2016	The Rise of Finance Technology in Canada	<p>[...]</p> <p>WHY FINTECH?</p> <ul style="list-style-type: none"> • Why are we seeing a rise of Fintech? • What areas have we seen Fintech emerge and why? • Where is Fintech threatening traditional financial institutions? • What are the weaknesses of Fintech? • The culture of Fintech: how can traditional organizations take advantage of millennials' preference for mobile technologies? • The innovation challenge: changing the business model to accommodate Fintech • Reinventing financial products to suit today's market • Where are Fintechs headed? <p>[...]</p>	1

		<p>1:00 - 2:30 P.M.</p> <p>REGULATORY OVERVIEW</p> <ul style="list-style-type: none"> • Privacy • Anti-Money Laundering • Consumer Protection • Other Regulation (insurance, mortgage broker regulation, etc.) • Different regulatory hurdles for Fintech and traditional financial institutions • Will the government allow Fintechs to continue in an unregulated fashion as they have to date? [...] 	
2017	10th Annual Anti-Money Laundering Conference and Expo - Title 31, Suspicious Activity and Risk Assessment Conference	<p>The conference provided an understanding of anti-money laundering regulations, suspicious activity reporting fundamentals, filing, auditing, training, etc. The courses were presented by Department of Justice, FBI and other law enforcement, legal counsel and experts in the criminal/money laundering and suspicious activity areas.</p>	1
2017	11th National Symposium on Money Laundering and Financial Crimes	<p>Now in its 11th year, this OsgoodePD National Forum on Money Laundering and Financial Crimes once again brings together an experienced international faculty to equip you with the knowledge and effective strategies you need to tackle the complex issues, including:</p> <ul style="list-style-type: none"> - Bitcoin, Blockchain and other emerging technologies; threats and responses - Latest trends and legal counterattack involving cybercrime and money laundering - Net worth investigations drill-down - Leading recent case law and its implications - How to conduct effective cross-border investigations - Working within parallel criminal and civil prosecutions - Investigating, prosecuting and defending money market crimes 	1
2017	2017 OBA Institute: Competitive Advantage: Current Issues in Secured Loan Transactions	<p>In today's changing legal environment, staying informed of current trends and market practice will help lawyers gain a competitive advantage. Register now to stay on top of the latest trends and market practice including in the areas of syndicated loan transactions, legal opinions, cross border transactions and know your client, anti-money laundering considerations. A must for transactional lawyers!</p>	1
2017	20th Annual Transnational Crime Conference	<p>A conference presented by the IBA Criminal Law Committee and IBA Business Crime Committee, supported by the IBA Law Firm Management Committee, the IBA War Crimes Committee, the IBA Arbitration Committee, the IBA Anti-Money Laundering Forum, the IBA Mining Law Committee, the IBA African Regional Forum and the IBA North American Regional Forum</p>	2
2017	7th Annual Hawaii ACTEC Fellows Planning Conference	<p>The Program covered three areas and focused on professional responsibility in each. First, FATF (Financial Action Task Force) is focused on what legal practitioners must be aware of when handling domestic and international transactions which may involve money laundering and proceeds of crime</p>	1

		disclosure rules. Second, the Digital Assets Management section focused on how estate planners must be cognizant of the modern trend to clients information being digitized and even their assets. That creates new challenges for estate planning practitioners. Third, was the section on international estate planning issues with special focus on Japan to USA and USA to Japan transactions and property holdings by reciprocal citizens and residents who may face multi-jurisdictional probate and tax issues.	
2017	AML & Financial Crime Conference	The annual ACAMS Anti-Money Laundering and Financial Crime Conference is the largest and most comprehensive anti-money laundering and financial crime symposium in North America. It is designed for certified AML and Fraud experts, lawyers and accountants. See attached Programme overview and certificate. This course and program have been approved by the Society in previous years.	1
2017	AML & Financial Crime Conference Canada	This is a course for individuals who work in anti-money laundering/anti-terrorist financing compliance.	2
2017	AML/ATF: Understanding Risk and Preparing a Risk Assessment	Kim Wilson, the AML/ATF Supervisor of Bermuda's Barristers and Accountants AML/ATF Board, delivered a lecture summarising the obligations of law firms in preparing their own risk assessment policies under Bermuda's AML/ATF Regulations. The lecture outlined the risk management systems and controls that law firms are required to have to minimize the businesses' exposure to money laundering and terrorist financing risk. The lecture also outlined new customer due diligence requirements under the AML/ATF Regulations and when enhanced due diligence is required.	1
2017	AML: A New Approach to Fight Complex Money Laundering Schemes	In this insightful session, Chris Swecker, former FBI Assistant Director and Brendan Brothers, Co-founder of Verafin, review the shortcomings of BSA/AML/CFT programs, which currently focus primarily on regulatory compliance and discuss a more effective means to investigate suspicious activity and the related flow of illicit proceeds. Learning Objectives •Gain an understanding of the challenges and inefficiencies of the current AML/CFT regime •Understand how a new approach to anti-money laundering efforts can generate stronger actionable information for law enforcement •Learn how financial institutions can adopt innovative technologies and practices to make a greater impact on fighting financial crime	1
2017	Anti-Money Laundering	A review of the current anti-money laundering procedures and legislation presented by Holman Fenwick Willan in conjunction with CLMS	1
2017	Anti-money Laundering & Terrorist Financing	Anti-money laundering legislations;-overview, primary offences and disclosure obligations; defining knowledge and suspicions; anti-money laundering and terrorist financing internal, risk based compliance; mechanisms and emerging typologies; new typologies - recognition and anticipation.	1

2017	Anti-Money Laundering and Anti-Terrorist Financing Training	Ashley Roberts, the Group Compliance Officer of Bermuda law firm Wakefield Quin Limited, gave a course summarising the new money laundering obligations under Bermuda's new regime, including lawyers' reporting regulations, client due diligence requirements, new sanctions, continuing monitoring requirements and applicable criminal and civil penalties for non-compliance. The course also highlighted current pitfalls seen in the industry.	1
2017	Anti-money Laundering Compliance for Law Firms	<p>Anti-money Laundering Compliance for Law Firms</p> <p>1) Key Reference Sources</p> <p>2) Overview of the Legal Regime</p> <p>3) The Basic AML/ CFT Tool Kit</p> <p>4) Practical Aspects to Implementing a CDD program</p> <ul style="list-style-type: none"> i) The Risk based Approach ii) Identifying Beneficial Owners iii) Politically Exposed Persons iv) Relying on Third Parties to conduct CDD <p>5) Interesting Cases</p> <p>6) Summary and Closing Thoughts</p> <p>7) Q&A</p>	1
2017	Basics of Export Controls 2017	<p>Basics of Export Controls 2017</p> <p>[...]</p> <p>U.S. and multinational corporations, investors and even governments are increasingly affected by the range of U.S. laws and regulations governing international trade. The Commerce Department's Bureau of Industry and Security (BIS), the State Department's Directorate of Defense Trade Controls (DDTC), and the Treasury Department's Office of Foreign Assets Control (OFAC) and Financial Crimes Enforcement Network (FinCEN) each plays an important role in administering and enforcing the intricate web of restrictions governing trade in U.S. products and technologies, the trade-related activities of U.S. parties and the financial transactions that make them possible.</p> <p>Understanding the potential scope and applicability of these various regulatory programs to global business operations is increasingly important in an era of heightened agency enforcement and enhanced penalties. And a thorough understanding of these various regulatory regimes is an essential foundation for developing an effective global trade compliance program.</p> <p>Peter Lichtenbaum of Covington & Burling LLP and Aaron R. Hutman of Pillsbury Winthrop Shaw Pittman LLP will discuss:</p> <ul style="list-style-type: none"> · The basic elements of the export control regimes administered by BIS and DDTC · The various economic sanctions programs administered by OFAC · The overlap of sanctions and export control rules with anti-money laundering regulation and the role of financial institution "gatekeepers" · Enforcement trends <p>This Briefing is scheduled as a review of the fundamentals before PLI's more advanced Coping with U.S. Export Controls and Sanctions 2017 program, being held on December 14-15, 2017 in Washington, D.C. Register for the two-day program</p>	1

		<p>and receive this Briefing free as part of your registration.</p> <p>Speaker(s): Aaron R. Hutman~ Pillsbury Winthrop Shaw Pittman LLP</p>	
2017	Blockchain, Cryptocurrencies and Smart Contracts - What Lawyers Need to Know	<p>Blockchain, Cryptocurrencies and Smart Contracts – What Lawyers Need to Know #228904 October 24, 2017 1-2pm EST</p> <p>With over \$1.5 billion raised, Initial Coin Offerings (ICO's) have gotten all the press, but they are just one use case of blockchain technology. This One-Hour Briefing will include an introduction to blockchain, cryptocurrencies and smart contracts. The speakers will then highlight the broad range of legal issues raised by various applications of this technology and the legal and regulatory responses to date.</p> <p>Please join Dror Futter of RIMÔN Law and Professor Aaron J. Wright from the Benjamin N. Cardozo School of Law as they address:</p> <ul style="list-style-type: none"> • The Technology • Initial Coin Offerings • Jurisdiction, Choice of Law and Venue • KYC (Know Your Customer) and AML (Anti-Money Laundering) and the Blockchain • Smart Contracts • Blockchain as Evidence <p>Speaker(s) Dror Futter ~ RIMÔN Law Aaron J. Wright ~ Benjamin N. Cardozo School of Law Program Attorney(s) Amy Taub ~ Practising Law Institute</p>	1
2017	Client Risk Assessments	<p>Ashley Roberts, the Group Compliance Officer of Wakefield Quin Limited, provided a lecture on the revised “client risk assessments” that lawyers will be required to undertake when onboarding clients which address the new obligations lawyers are subject to under the “Guidance Notes for the Prevention & Detection of Money Laundering and the Financing of Terrorism for the Legal Sector” issued by the Barristers and Accountants AML/ATF Board. The lecture also highlighted lawyers’ record keeping obligations, the determination of client risk profiles and the specific client due diligence information required to be obtained for all in-scope AML/ATF matters.</p>	1
2017	Commercial Legal Update 2017	<p>Now in its 7th year of production, Commercial Legal Update continues to deliver the latest critical updates in legal and regulatory compliance, as well as best practice reminders for all commercial licensees in the province. For 2017, the Independent Advisory Group recommendations to the Real Estate Council will guide discussions—additional new content that emerges from the recommendations will be introduced through 2017 as it becomes public. The remainder of the course will challenge commercial licensees with new</p>	1

		<p>and recurring topics, supported through court cases, consent orders and tips for risk mitigation.</p> <p>Topics for 2017 include:</p> <ul style="list-style-type: none"> • Independent Advisory Group Recommendations • Assignments – New Regulations • Licensees’ Obligations under the Proceeds of Crime (Money Laundering) and Terrorist Financing Act and Regulations • Licensees’ Obligations to Discover, Decide and Disclose • Shortfall Sales • Due Diligence and Legal Title • Environmental Remediation • Strata Issues – Mixed-Use Developments • The Use of Drones in Real Estate Marketing • Conditions Precedent 	
2017	Corporate Governance Update for Lundin Legal Group	<p>1) Call to Order</p> <p>2) Director Training Plans and Programs</p> <p>a. Update</p> <p>3) Company Compliance Programs</p> <p>a. Anti-Bribery and Anti-Money Laundering/Sanctions Procedures</p> <p>4) Corporate Criminal Liability</p> <p>a. New corporate criminal liability in the UK for “failure to prevent” tax evasion and other economic crimes: How will it affect Canadian businesses?</p> <p>5) Company Governance</p> <p>a. Updates on Canadian corporate governance</p> <p>b. Update on Swedish Regulatory Requirements</p> <p>6) Website Disclosure</p> <p>a. Disclosure of Historical Information</p> <p>b. Swedish Requirements</p>	1
2017	DARREN KOZOL, IN HOUSE COUNSEL TO PEOPLES TRUST COMPANY, ON ANTI MONEY LAUNDERING	<p>The topic will be Anti Money Laundering and will be presented by Darren Kozol, in house counsel to Peoples Trust Company.</p> <p>Darren joined Peoples Trust Company as General Counsel and Corporate Secretary in mid-2012. He was subsequently appointed Corporate Secretary for Peoples Card Services in early 2013. Darren is a corporate lawyer with substantial in-house experience advising boards and executive management. He has an extensive legal background encompassing technology, financial services, government relations and compliance. As General Counsel & Corporate Secretary, Darren is responsible for providing advice to the Peoples Trust Company on a variety of legal issues related to their businesses. He also fills the roles of Chief Compliance Officer, Chief Anti Money Laundering Officer, and Complaints & Privacy Officer.</p> <p>In addition to being educational, it will also serve as an opportunity to meet, face to face, their in house counsel.</p>	16
2017	Dispute Resolution Summit 2017	<p>[...]</p> <p>13.25 Conducting regulatory investigations in the region</p> <p>• Regulatory updates in the Asia Pacific region</p>	1

		<ul style="list-style-type: none"> • Taking regulatory action against multinationals: what are the biggest challenges you may face? • What are local regulators focusing on? What to expect when dealing with regulatory investigations in the region • Regulatory investigations and internal investigations in China: how foreign businesses can navigate the changing environment • Anti-corruption, anti-money laundering and bribery laws to be aware of in the region <p>Shaun Ansell, head of international legal and compliance, GPB Financial Services (chair) Leo Seewald, head, Taiwan, Blackrock Thomas Ochensberger, chief compliance officer, HPS Partners Johnny Chan, head of legal, China Merchants Securities International [...]</p>	
2017	Essential Issues on Trust Planning	<p>Why do Estate Planning The current global environment - the Regulatory Landscape</p> <ul style="list-style-type: none"> - the post 9/11 effect - anti-money laundering regulations + KYC - TIEAs and DTAs - the drive for exchange of information - FATCA & CRS + National reporting - France & Russia - the tendency to political views that "Trusts mean tax evasion" - Atlantic drift; Pacific tide <p>Instructions and information required</p> <ul style="list-style-type: none"> - factual information concerning the client's family - taxation information concerning the client's family - a statement of assets generically with estimated values - "his", "hers" and "joint" - when considering possible structures, what will all this mean for due diligence <p>[...]</p> <p>Comparison between Trusts and Foundations</p> <ul style="list-style-type: none"> - Creator (Settlor and Founder) - Reserved Powers and Rights - Legislation has to permit - To Settlor to others - Reservation is personal; powers and rights not assignable but delegable - To Founder: Powers and rights are assignable - can be extensive - Management and Control - Governing Document/Legal Entity - Registration - Beneficial Entitlement - Continuity - Ownership of Assets - Residence - Nature - Sham/Nominee Arrangement - Ultra Vires - Liability 	1

		<p>Comparison between SPIC and Foundation</p> <ul style="list-style-type: none"> - Creator - Reserved powers and rights - Management and Control - Governing Document/Legal Entity - Registration - Beneficial Entitlement - Continuity - Ownership of Assets - Residence - Nature - Sham/Nominee Arrangement - Ultra Vires - Liability [...] 	
2017	Ethics - Know Your Client (English Course) - Year 2	<p>As a part of the Ethics curriculum, this Know Your Client online course has been designed to provide UAE lawyers with an introduction to anti-money laundering and terrorist financing for the purposes of helping you to create a robust client due diligence process.</p> <p>The client due diligence (CDD) section will be broken down into various key parts, covering the different types of CDD and the application across various legal services.</p> <p>This course will also cover the legal framework applicable in the UAE, highlighting the key regional laws and regulatory guidelines from the Dubai Financial Services Authority.</p> <p>This course intends to provide you with:</p> <ul style="list-style-type: none"> an understanding of what is considered effective know your client procedures and controls what role you as lawyers and law firms must play to ensure that your legal services are not used to further a criminal purpose what the regional legal framework expect during your client onboarding process an understanding of how money laundering and terrorist financing are serious threats to our society to assist you, as licensed lawyers in the UAE, to meet your obligations under the anti-money laundering and counter-terrorist financing regime <p>Upon completion of this course, you will understand the importance of adequate client due diligence processes and how these may be applied.</p>	1
2017	Federal and State Tax Issues Related to Medical Marijuana	<p>Review of the Conflicts between Federal Laws Prohibiting Marijuana ("MJ") and making any exchange of funds or revenues associated with the sale or distribution a crime and subject to 'money laundering rules. On the other hand the State laws legally permitting the use sale and distribution of MJ for medical purposes (widely defined"), as legal commerce, subject to taxation, reporting and general business laws. Complicating factors are that in the US banking is under federal jurisdiction so banks refuse to deal with the "proceeds of crime" under federal regulations. Second, the fact that lawyers advising clients on State MJ laws are subject to counseling crimes under federal legislation prohibiting MJ use, sale and distribution, which creates an ethical dilemma for Hawaii Attorneys advising clients.</p>	1

2017	Financial Crime Update	Simon Orton, Ruby Hamid, John Warren & Kim Zelnick from Freshfields will be delivering the Global financial crime update. Jonathan Kahlberg will be the internal host. This session focused on latest legislative trends and enforcement developments globally relating to anti-bribery and corruption, sanctions and anti-money laundering.	2
2017	Focus on Canada: Reviewing Recent Regulatory Developments and Compliance Trends	<p>FINTRAC's revised guidance related to verification of identity, and other updates to the Proceeds of Crime (Money Laundering) and Terrorist Financing Act, lessons from the FATF Mutual Evaluation of Canada debrief, and the latest regulatory developments are just some of the challenges facing Canadian compliance professionals. Join this panel for a fast-paced examination of compliance hurdles throughout Canada and practical strategies for overcoming them.</p> <p>Learning Objectives</p> <ul style="list-style-type: none"> •Identifying key changes in the PCMLTFA and updates to regulatory guidance •Assessing emerging regulatory issues including feedback included in the FATF report and fintech regulatory developments •Formalizing effective strategies when reporting suspicious transaction reports (STRs) to FINTRAC 	1
2017	Fraud Awareness & Financial Literacy (video version - original presentation February 5, 2013)	<p>Topics will include:</p> <ul style="list-style-type: none"> •File opening procedures, including conflicts verification and Know Your Client compliance •Trust accounts and related risks •Anti-money laundering compliance •Ponzi schemes -- how to identify and avoid •Internal fraud awareness issues 	1
2017	Hong Kong 2017 In-House Legal Summit	<p>[...] 4.15pm</p> <p>Panel: Strengthening Hong Kong's Anti-Money Laundering Regime (40mins)</p> <ul style="list-style-type: none"> •New legislation introduction for greater corporate disclosure and financial transparency •Challenges faced in accessing corporate registries and company data for investigations into potential white collar crimes •Updates following the aftermath of the Panama Papers scandal •Addressing issues of intrusion into data privacy and rising information access costs •How do HK anti-money laundering laws affect SMEs <p>Moderator: Vivian Chui, Regional AML and Sanctions Advisor, BNP Paribas Hong Kong</p> <p>Panelists:</p> <ul style="list-style-type: none"> •Kevin Marr, Assistant General Counsel, Global Financial Crimes Legal, JPMorgan Chase •Maaike van Meer, Chief Legal & Compliance Officer, AXA Insurance Hong Kong •Simon Leung, Head of AML, China CITIC Bank 	2

		International [...]	
2017	Les développements récents en droit bancaires	The topic of the course was : Recent development in Banking Law. There were 5 presentations which talk about : <ul style="list-style-type: none">- Conflict of Laws rules in Secured Transactions- Legal Issues related with the Fintech- Limitation of liability of Bank- Method of payment- Electronic payment- Money laundering	1
2017	Lundin Legal Group - Legal Meeting 2017	As provided in the agenda below, this program explored various current topics in corporate governance, legal compliance, and regulatory rules applicable to mining companies. Members of the group (lawyers and corporate secretaries) had the opportunity to present and discuss each agenda item. [...] Agenda: 1) Call to Order [...] 3) Company Compliance Programs a. Anti-Bribery and Anti-Money Laundering/Sanctions Procedures 4) Corporate Criminal Liability a. New corporate criminal liability in the UK for “failure to prevent” tax evasion and other economic crimes: How will it affect Canadian businesses? [...]	2
2017	Matter Opening Procedures	This course focuses on the issues of conflict of interest and anti-money laundering regulations which arise from opening new matters. Ethical conflicts of interest are defined and examples of the same are given. Lawyers' duties of loyalty to clients and definitions of adverse parties are also described. Business conflicts are also explained, as well as relevant procedures for how to resolve them when they arise. Anti-money laundering regulations are explained, as well as relevant procedures to ensure that clients are not laundering money. High risk situations are explained, as well as the need for ongoing vigilance. Considerations and required contents for engagement letters are also set out.	1
2017	McCarthy Tétrault Advance: RegTech - What It Does, What It Doesn't Do and What It Shouldn't Do	RegTech: What It Does, What It Doesn't Do and What It Shouldn't Do - November 1, 2017 Businesses are increasingly embracing RegTech, specialized technology applications used to assist businesses in meeting their regulatory compliance requirements, (such as anti-money laundering requirements, regulatory reporting requirements such as securities reporting, and fraud analysis). RegTech can help financial services providers comply with regulation in a much more cost-effective and less labour intensive way. RegTech may also potentially allow regulators themselves to have access to, analyze and process an increasing amount of data, often in a real-time basis.	6

2017	Money Laundering for Beginners: An Introduction to Anti-Money Laundering	In recent international reports on financial crime and combatting money laundering Hong Kong has been labelled a centre for money laundering. This 3-hour seminar will provide an introduction to the criminalising of money laundering internationally and in Hong Kong. The origins of the offence of money laundering will be considered and the measures that have been introduced to combat money laundering and terrorist funding. Money laundering is a relatively recent criminal offence in Hong Kong and the criticism of anti-money laundering (AML) and counter-terrorist funding (CTF also known as anti-terrorist funding (ATF)) practices in Hong Kong will be discussed. The seminar will conclude with discussion of possible changes to anti-money laundering legislation and regulation in Hong Kong.	1
2017	National CLE Program - Protecting Against Money Laundering	Law firms are often the target of money laundering, terrorist financing or other financial fraud-related schemes, and BLG is no exception. All BLG professionals must be constantly vigilant and follow all applicable procedures and policies. This program reviews current rules of professional conduct, legislation and firm policies that protect against money laundering, terrorist financing and sanctions violations and will also explain some of the more common money laundering schemes that can be encountered.	7
2017	Old Law, New Trends: The Evolution of Extradition and Mutual Assistance Law / Anciennes lois et nouvelles tendances: L'évolution des lois sur l'extradition et l'entraide juridique	[...] "Old Law, New Trends: The Evolution of Extradition and Mutual Assistance Law" [...] 10:30 – 11:45 Evolution of mutual legal assistance in the modern age <ul style="list-style-type: none"> • E-currency and its effects on money laundering investigations • The increasing amount of electronic data sought in MLAT requests • Section 9.3 of the MLACMA, "Direct enforcement of foreign orders for restraint" [...]	2
2017	Professional Conduct Update 2017	1. Admission of solicitors - statutory prohibition on solicitors firm employing a person as a trainee solicitor who has been convicted of a criminal offence involving dishonesty and Law Society may impose conditions on issued practising certificate. 2. Conduct of solicitors practice - conviction for the offence of money laundering; assisting client to commit a breach of client's fiduciary duty might also render the solicitor liable for giving dishonest assistance. 3. The retainer - solicitors authority to act; implied retainers and solicitors duty to avoid a conflict of interest; whether relationship of solicitor and client subsists where a solicitor, once retained, does intermittent or occasional legal work for client 4. The solicitors remuneration - may be recoverable on a quantum meruit basis; professional conduct - not to overcharge; costs against a third party; on a solicitor and own client taxation, fees for two senior solicitors not normally allowed; indemnity costs; taxation of	1

		<p>government's costs.</p> <p>5. Confidentiality and legal professional privilege - whether legal professional privilege extends to communications between a client and a solicitor without a practising certificate; common interest privilege; fraud exception in the matrimonial context; waiver of professional privilege by selective disclosure</p> <p>6. Conflict of interest - representing co-accused in a criminal trial; jointly representing driver and passenger in personal injury action, borrower and lender; solicitor against former client; changing firms; should not act where own error or competence at issue in trial; breach of fiduciary duty</p> <p>7. Negligence - making a will, checking testator's capacity; client on advice of solicitor entering into allegedly negligent settlement and the limitation period</p> <p>8. The litigation solicitor - inhibiting access to witnesses; duty to disclose to court where non-expert witness receives remuneration</p> <p>9. Solicitors and the disciplinary process - concerns about whom a complaint has been made; duty of prosecuting authority in the disciplinary process to make disclosure of all relevant material</p> <p>10. Barristers: Admission to practice- the applicable guidelines upon which the court will act in determining to admit an overseas silk for one case restated; whether to admit and overseas silk for application for leave to appeal to the court of final appeal</p> <p>11. Duty of counsel for the protection - duty of disclosure of police notebook; of unused material which might harm prosecution's case</p>	
2017	Protecting against Money Laundering (video version -- original presentation November 26, 2015)	<p>A client retains the Firm on a matter and provides you with a cash retainer of \$15,000. The Firm is asked to act in an oddly structured business deal. What now?</p> <p>This course reviews current legislation and firm policies that protect against money laundering.</p> <p>This is part of BLG 101 and is designed for all first-year associates and lateral hires.</p>	6
2017	Risk Management Education	<p>Provides an overview to enable lawyers to have sufficient awareness of the International and Local AML Regulatory framework</p> <p>Will help firms ensure that they understand and comply with local laws and regulations</p> <p>Will help firms prepare for future evolution as money laundering activities continue to become more sophisticated</p>	1
2017	Snow-washing: The role of Canadian companies and trusts in money laundering	<p>The seminar was delivered by the author of a report No Reason to Hide: Unmasking the Anonymous Owners of Canadian Companies and Trusts. This is a summary of the report's content taken from the website (link provided for the course link):</p> <p>"Canada is one of the world's most opaque jurisdictions when it comes to ownership of private companies and trusts, said a new report released today by Transparency International Canada (TI Canada). Rich in examples, analysis and recommendations, the report was produced by Adam Ross, TI Canada's lead</p>	1

		<p>researcher on beneficial ownership transparency with a team of five subject matter experts and oversight by TI Canada's board and legal committee.</p> <p>The report states that anonymous companies and trusts are the getaway cars of financial crime because they enable criminals to hide behind a veil of secrecy, while giving them access to bank accounts and the means to use their illegally obtained wealth in Canada's legal economy.</p> <p>Using specific case studies and original research into the luxury property sector in Vancouver, TI Canada's report demonstrates how little is known about who truly owns Canadian companies, trusts and the assets they control.</p> <p>The average price of a home in Canada has skyrocketed in recent years, with the largest increases in Toronto and Vancouver. An influx of overseas capital is one of the causes. Nevertheless, the extent and impact of foreign investment remains unknown since very little data is collected on property owners.</p> <p>"Individuals can use shell companies, trusts and nominees to hide their beneficial interest in Canadian real estate. This makes property attractive for money laundering, deprives the government of tax revenue, and hinders data collection, making it difficult to analyse the impacts these ownership structures have on the real estate market," said TI Canada Executive Director, Alesia Nahirny."</p>	
2017	The Osgoode Certificate in Gaming Law	<p>Topics covered include</p> <ul style="list-style-type: none"> - The intersection between gaming law and the Criminal Code including the concept of "conduct and manage" - A thorough review of the governing legislation in Ontario including the Gaming Control Act and the Ontario Lottery and Gaming Corporation Act - Sports wagering: issues and growth potential - First Nations gaming and the significance of Kahnawake - How other jurisdictions operate in Canada and internationally - Compliance – understanding the relationship with gaming regulators - Testing equipment and software – how the technology has evolved and the legal issues that arise as a consequence - The emergence and immediate impact of skill-based games and social games - The latest on anti-money laundering - What the growing market integration of eSports and eGaming means for the gaming industry as a whole - Recognizing and implementing "responsible gaming" - Cross-border online gambling law - The near future of gaming in Ontario/Canada and potential legislative changes 	1
2017	The Role of Compliance	In this program seasoned attorney and Chief Compliance Officer Charles A Christofilis provides	1

		<p>attorneys with an overview of the laws and rules which govern the area of compliance, the many legal areas in which the compliance officer must operate, the "four pillars" of compliance, and numerous case examples in which inadequate compliance has resulted in major adverse consequences for companies.</p> <p>He addresses how to develop, Implement and test a Compliance Program in virtually any industry, and does a deep dive into the financial services and public company space. Specifically, the roles of the SEC and other agencies, the Investment Advisers Act, the Anti-Money Laundering provisions under the Patriot Act (with numerous examples), the FCPA and the necessity of internal audits and mock examinations.</p> <p>Finally, he concludes with how to manage regulatory examinations and investigations as opposed to more traditional civil or criminal litigation, and respond to compliance failures from a crises management perspective when they occur.</p>	
2018	11th National Symposium on Money Laundering and Financial Crimes (On-Demand)	<p>Now in its 11th year, this OsgoodePD National Forum on Money Laundering and Financial Crimes once again brings together an experienced international faculty to equip you with the knowledge and effective strategies you need to tackle the complex issues, including:</p> <ul style="list-style-type: none"> - Bitcoin, Blockchain and other emerging technologies; threats and responses - Latest trends and legal counterattack involving cybercrime and money laundering - Net worth investigations drill-down - Leading recent case law and its implications - How to conduct effective cross-border investigations - Working within parallel criminal and civil prosecutions - Investigating, prosecuting and defending money market crimes 	10
2018	2018 INTERLAW AMERICAS CONFERENCE - NEXTGEN	<p>NextGen Topic: Anti-money laundering international regulation related to terrorism. External Speaker: Jorge Mascarenhas Lasmar PhD, Professor of International Relations at PUC Minas Chair: Edie Ryan Co-Chair: Délber Lage</p>	1
2018	2018 NOBC Mid-Year Meeting	The program includes 4 days of programming which include Canadian perspective on lawyer wellness, issues facing lawyer regulators, lawyer involvement in anti-money laundering initiatives and anti-terrorism financing, adjudicators perspective in disciplinary matters, handling immigration matters, investigations under MRPC 8.4(c), current developments and a wide variety of concurrent and roundtable programs.	3
2018	20th Anniversary NY Conference on Foreign Corrupt Practices Act	Course covers topics related to the Foreign Corrupt Practices Act including Dept. of Justice updates on their new corporate enforcement policy, how to defend your anti-bribery program, how to screen third parties to avoid bribery risks, anti-corruption developments in Latin America, money laundering and sanctions laws.	1

2018	ACGC Fall Conference	The ACGC Conference happens twice a year. We covered Artificial Intelligence in Legal Applications, Block chain Technology, Legal and Ethical Issues in Use of AI, Legal Issues around Bitcoin, anti-money laundering, cyber security and application of securities law.	1
2018	AML & Financial Crime Conference	Comprehensive symposium on current and coming developments in anti-money laundering and anti-terrorist financing legal requirements, compliance practice, methodologies, regulator guidance and operations.	1
2018	AML Regulation for Cryptocurrency	Presented and attendee on impact on cryptocurrency of incoming regulatory changes to the Proceeds of Crime (Money Laundering) and Terrorist Financing Act and Regulations. Other panelists included accredited compliance professionals and lawyers.	1
2018	AML/CTF and Financial Crime in Canada A 2018 Update	The most recent international report on Canada's AML/CTF efforts (September, 2016) states that Canada faces important money laundering and, to a lesser extent, terrorist financing risks. While Canada has a strong regime to address these aspects of financial crime, further improvements are necessary. At this session, you will learn: a) The sectors that represent the biggest gaps in the Canadian AML/CTF regime b) Real-life examples of money laundering taking place in Canada c) How Canada ranks on their AML/CTF program and with respect to financial crime versus other countries d) What needs to be done going forward in Canada to strengthen the AML/CTF regime	1
2018	Annual Fall Conference	<p>This seminar is about compliance with the Proceeds of Crime (Money Laundering) and Terrorist Financing Act. I was an attendee and presenter at the conference. Other presenters were a mix of lawyers and other compliance professionals.</p> <p>Description The Canadian MSB Association (CMSBA) is proud to present our fall 2018 conference, taking place in the Appel Salon at the Toronto Reference Library on November 7, 2018. [...]</p> <p>The agenda is below: [...]</p> <p>08:15 - 09:00 Canadian Payments Modernization Presenter: Robyn King (Payments Canada) 09:00 - 09:05 Vendor Spotlight Presenter: TBC 09:05 - 09:50 Dealers in Digital Currency Become MSBs</p> <p>Moderator: Amber Scott Panelists: Charlene Cieslik (Coinsquare) Stephen Sargent (Bitfinex) Jean Amiouny (ShakePay) Richa Vajpeyi (Aion/Mavennet) [...]</p>	1

		<p>10:15 - 11:45 FINTRAC Update Presenter: Alain Boudreault (FINTRAC/CANAFE) [...]</p> <p>12:45 - 13:30 Cyber 101: Preventing Cyber Victimization Presenter: Stephanie Corvese (Grant Thornton)</p> <p>13:30 - 13:45 Vendor Spotlight Presenter: TBC</p> <p>13:45 - 14:30 Penalties & Appeals Update Presenter: Jason Beitchman (Rayman Beitchman LLP) [...]</p> <p>14:45 - 16:00 Derisking & Recent Cases</p> <p>Moderator: Marc Lemieux Alan M. Stein (lawyer) Hossein Pourshafiey (former MSB owner) Pouyan Tabasi Nejad (community advocate)</p> <p>16:00-16:15 Closing Remarks Presenter Carinta Manarelli (CMSBA)</p>	
2018	Anti Money Laundering and Counter Terrorist Financing (AML/CTF) - Advanced	This training course is intended for staff with high exposure to Financial Security risk. It focuses on mastering, strengthening and adapting skills related to Anti Money Laundering and Counter Terrorist Financing (AML/CTF) for more effective application, and will enable enhanced skills on problem solving and concrete case analysis. The training outlines the main concepts related to AML/CTF, and presents key issues associated with : AML/CTF regulations governing financial institutions - The Risk-Based approach and its operational impacts, Key risk factors and the controls implemented to manage these risks, Suspicious activity detection and reporting	1
2018	Anti-Money Laundering (Canada)	<p>Agenda</p> <ul style="list-style-type: none"> •Introduction and Background •Laws and Regulations •Managing the Risks: Due Diligence •Managing the Risks: Financial Sanctions •Reporting Your Suspicions •Practice Exercise •Summary <p>Objectives</p> <ul style="list-style-type: none"> •Identify the methods that criminals use to launder money and finance terrorism •Explain the relevant anti-money laundering (AML) and counter-terrorist financing (CTF) laws and regulations •Apply risk-based due diligence procedures •Explain the sanctions regime and your responsibilities in relation to it •Identify examples of suspicious behaviour and know how to escalate any concerns 	1
2018	Anti-Money Laundering Hong Kong Fee Earner Course	<p>Exact date of completion: October 31 2018?</p> <p>The definitive anti money laundering program for fee earners in leading Hong Kong and international law firms. This course fits in with our firm's anti-money laundering procedures and aims to:</p>	1

		<p>1. help you understand what anti-money laundering is about and why it is relevant to you;</p> <p>2. help you understand why you need to be aware of the issue of terrorist financing;</p> <p>3. give you an awareness of the law relating to money laundering and terrorist financing;</p> <p>4. show how our firm's anti-money laundering procedures apply and help you recognise and deal with transactions and other activities which may be related to money laundering or terrorist financing; and</p> <p>5. test that you have understood the points covered.</p> <p>This course has been designed to teach you anti-money laundering best practices and procedures, as defined by 14 of the world's leading international law firms and 11 of Hong Kong's leading firms and in line with (a) Practice Direction P that has been drawn up by The Hong Kong Law Society and (b) applicable legislation in Hong Kong.</p> <p>This includes:</p> <p>1. knowing how to verify a client's identity and conduct client due diligence measures;</p> <p>2. learning how to recognise and deal with transactions and other activities which may be related to money laundering by being alert to suspicious behaviour and reporting such activities in the right way;</p> <p>3. understanding Hong Kong-specific requirements; and</p> <p>4. being clear on our firm's own internal policies and procedures.</p> <p>By completing this course you will have learnt how to comply with all critical statutory requirements and will be able to play your part in the fight against money laundering.</p>	
2018	Anti-Money Laundering Hong Kong Refresher Course	<p>Exact date of completion: October 31, 2018</p> <p>Familiarity with, and understanding of, the anti-money laundering and counter terrorist financing legislation has become an integral part of working in a law firm. This course has been designed as a refresher for those who have already completed the Anti-Money Laundering Hong Kong Course.</p> <p>This course has been designed to teach anti-money laundering best practices and procedures, as defined by the world's leading international law firms and in line with (a) Practice Direction P that has been drawn up by The Hong Kong Law Society and (b) applicable legislation in HK.</p> <p>The aims of this course are to: act as a reminder on the most significant areas of the anti-money laundering requirements; and ensure you remain aware of the importance of compliance with the firm's anti-money laundering systems and procedures.</p>	1

		<p>The course consists of four modules:</p> <ol style="list-style-type: none"> 1. Definitions and role of law firms within the anti-money laundering regime; 2. The relevant legislation; 3. Anti-money laundering compliance systems and procedures; and 4. Practical exercises. <p>To complete the course, please note that you are required to:</p> <p>Review all the materials in all the modules; Complete all the mandatory exercises; and Complete the course feedback form.</p>	
2018	Anti-Money Laundering in Financial Institutions	<p>Outline:</p> <ol style="list-style-type: none"> (1) Legislation Concerned With Money Laundering (2) Risk Factors (3) Compliance Officer and Money Laundering Reporting Officer (4) Customer Due Diligence and Record-keeping (5) Ongoing Monitoring Assessment and Documentation (6) Suspicious Transaction Report 	1
2018	Anti-Money Laundering Training and Update	Course on awareness concerning the risks of money laundering in the context of corporate legal transactions.	1
2018	Anti-Money Laundering: A Practical Overview (Hong Kong)	<p>Exact date of completion: October 31, 2018</p> <p>All law firms have an obligation to provide ongoing anti-money laundering training to all relevant staff. This course, written specifically for Hong Kong, acts as a reminder of the most significant areas of anti-money laundering best practice, including a practical overview of:</p> <ul style="list-style-type: none"> - What money laundering is; - The requirements under Practice Direction P for client due diligence and ongoing monitoring; - The relevant Hong Kong legislation, including DTRPO, UNATMO, OSCO and AMLO; - How to recognise suspicions and what to do if you have a suspicion; and - When, how and to whom to report. <p>The course includes engaging video (with a text-only option), animation and interactive scenarios that help all staff get reacquainted with the importance of understanding and complying with their obligations.</p> <p>To complete the course, you are required to review all of the materials in each module and complete 10 multiple choice questions in the Final Assessment.</p>	1
2018	Banking on Cannabis: The Impact of Legalization on the Banking Industry	<p>Many Canadian banks operate internationally, with increasingly integrated operations. With the legalization of cannabis, they face an increasingly complex regulatory and legal web.</p> <p>As a legal professional, or someone involved in banking or the cannabis industry, you must get prepared to competently navigate the new legal and regulatory landscape given the impact to both</p>	1

		<p>domestic and foreign banking operations and transactions. A clear understanding of the intersecting regimes is essential to prevent violations and unintended foreign lawsuits.</p> <p>Join leading Canadian & US banking law experts in this 90-minute OsgoodePD online webinar for essential guidance and best practices to effectively deal with these compounded challenges and to protect your clients' – and your own – interests.</p> <p>You'll get an overview of the new regime, including a succinct overview of the ground rules and how to navigate the risky junctions of asymmetrical legal requirements, including:</p> <ul style="list-style-type: none"> How does cannabis legalization affect Canadian banking? Banks as corporate citizens providing services for clients in the cannabis industry, from commercial to retail banking clients and everything in between Canadian anti-money laundering (AML) requirements, monitoring and reporting guidance Criminal/controlled substances prohibitions, includes both Canadian and US perspectives and the current state of conflict Criminal money laundering prohibitions, includes both Canadian and US perspectives and the solution of "ring fencing" Best practices for dealing with potentially problematic connections Troubleshooting, trends and issues to watch out for 	
2018	Canadian Law & Blockchain Technology Event	<p>This event serves as a comprehensive primer for lawyers and entrepreneurs who want to expand their practice into the exciting intersection of legal policy and blockchain business models. The discussions and presentations will also provide value for entrepreneurs who want to be aware of the pitfalls and opportunities present in a space which is still being defined.</p> <p>Our event will consist of a panel discussion with British Columbia's leading lawyers on the cutting edge of blockchain related issues ranging from securities, to taxes, anti-money laundering, ponzi schemes and tokenizing assets. In addition to our panel discussion there will also be a presentation on open-source software licenses and the legal issues that surround blockchain business models. We will also provide time for q&a from the audience.</p>	3
2018	CLEBC CLE-TV: Anti-Money Laundering for Lawyers and Law Firms - REBROADCAST -160518	<p>As lawyers, you receive and disburse large sums of money on a regular basis, leaving you and your firm vulnerable to money laundering attempts. Join us for a focused 90 minute session on how to protect your firm from unwittingly engaging in money laundering. You will leave this session understanding your obligations as a lawyer, and tools to ensure that you are compliant and prepared to handle situations that raise money laundering risks.</p> <p>Join us and be smart in an era of increasing money laundering scrutiny today!</p>	8

		A minimum of 1.5 hours will involve aspects of professional responsibility and ethics, client care and relations, and/or practice management.	
2018	CLEBC CLE-TV: Anti-Money Laundering for Lawyers and Law Firms - REBROADCAST 160518	<p>As lawyers, you receive and disburse large sums of money on a regular basis, leaving you and your firm vulnerable to money laundering attempts. Join us for a focused 90 minute session on how to protect your firm from unwittingly engaging in money laundering. You will leave this session understanding your obligations as a lawyer, and tools to ensure that you are compliant and prepared to handle situations that raise money laundering risks.</p> <p>A minimum of 1.5 hours will involve aspects of professional responsibility and ethics, client care and relations, and/or practice management.</p>	8
2018	CLEBC CLE-TV: Anti-Money Laundering for Lawyers and Law Firms - 160518	<p>Who should attend: All lawyers Learning level: All levels</p> <p>As lawyers, you receive and disburse large sums of money on a regular basis, leaving you and your firm vulnerable to money laundering attempts. Join us for a focused 90 minute session on how to protect your firm from unwittingly engaging in money laundering. You will leave this session understanding your obligations as a lawyer, and tools to ensure that you are compliant and prepared to handle situations that raise money laundering risks.</p> <p>Join us and be smart in an era of increasing money laundering scrutiny today!</p> <p>At this you course, you will: learn about the regulatory landscape of anti-money laundering get a refresher on the Law Society of BC's anti-money laundering rules and expectations acquire best practices for meeting and exceeding the Law Society rules to protect your practice get up to date on topical issues such as money laundering in real estate transactions and cross border payments Law Society of BC CPD Hours: 1.5 hours (a minimum of 1.5 hours will involve aspects of professional responsibility and ethics, client care and relations, and/or practice management)</p> <p>Course Instructors Scott Bartos — Chief Risk Officer, Borden Ladner Gervais LLP, Vancouver Barbara K. Buchanan, QC — Practice Advisor, Conduct & Ethics, Law Society of BC, Vancouver</p>	18
2018	Compliance issues 2018	<ul style="list-style-type: none"> - Preventing harassment and violence in the workplace - Cyber security - protect our information - Protecting clients and employees personal information - Proceeds of Crime (Money laundering) and Terrorism financing (PCMLTF) - Internal Sanctions and Extraterritorial application of 	1

		<p>sanctions</p> <ul style="list-style-type: none"> - What is corruption and how to combat corruption <p>Each section was 45 minutes to 1 hour with test of knowledge at completion.</p>	
2018	Compliance Officers' Network	<p>(1) PREVIOUS MEETING SUMMARY</p> <p>(2) PRESENTATIONS</p> <ul style="list-style-type: none"> -BLG lawyers: Rebecca Cowdery, Prema Thiele, Matt Williams and Laura Paglia, Scott McEvoy and Michael Taylor <p>(3) MEMBER QUESTION/ANSWERS DISCUSSION</p> <ul style="list-style-type: none"> -Fair Value Pricing, KYC <p>(4) REGULATORY UPDATE</p> <ul style="list-style-type: none"> -PMAC / IIAC Launch Portfolio Manager & IIROC Dealer Member Services Template Agreement -Proposed Anti-Money Laundering and Anti-Terrorist Financing amendments -Update on Alternative Funds Proposal and recent relief granted -CSA Staff Notice provides update on project to reduce the regulatory burden for investment fund issuers -CSA Staff Notice offering guidance on securities law implications for token offerings <p>(5) RECENT/UPCOMING COMPLIANCE DEADLINES</p> <ul style="list-style-type: none"> -PIPEDA security breach notification requirements 	1
2018	Consultation on Regulations - Virtual Currencies	This involved a detailed review and discussion of the proposed new regulations to the Proceeds of Crime (Money Laundering) and Terrorist Financing Act (PCMLTFA) respecting virtual currencies as part of the Department of Finance and FINTRAC's consultation process.	2
2018	Dirty Money	The topic of the ACLP event will be a discussion of "Dirty Money" the recently-issued report on money laundering in BC casinos. Leading the seminar discussion will be the Honourable David Eby, QC, Attorney General of British Columbia, and the author of the Report, Dr. Peter German. The two distinguished discussants will provide insights into the findings in the Report and the next steps to be taken to address illegal money laundering practices in BC.	2
2018	E-Learning Course: Act on the Prevention of Money laundering & Financial Terrorism	E-Learning course with testing: Update on the most recent developments on the Act on the Prevention of Money Laundering & Financial terrorism. Testing on the firm's Anti Money laundering Policy	1
2018	Ethics in Action	An ethics and practice management seminar put on by Christopher McPherson, Q.C., Martin Finch, Q.C., and Phil Riddell under the auspices of the Law Society, focusing on various ethics issues such as money laundering, discipline issues, etc.	1
2018	Ethics in Evolving Compliance Requirements	The constantly shifting landscape of laws aimed to prevent money laundering, terrorism and tax evasion creates numerous landmines for legal professionals.	1

		<p>Violations can result in substantial fines and possibly cost uninformed attorneys their license.</p> <p>Learn the laws and governing agencies to watch, and the conflicts that can arise between statutory formation requirements and ethics guidelines. We'll cover the current lay of the land, discuss the potential impact of legislation now pending, and delve into the ABA Model Rules of Professional Conduct.</p>	
2018	International Private / Corporate Law / Corporate Criminal Law	<p>International Private / Corporate Law / Corporate Criminal Law</p> <p>Globalization and increased mobility allow private persons as well as enterprises to conclude more legal business outside of their home countries. As a result, international private business laws have taken on increasing importance.</p> <p>The module International Private Law / I and Corporate Law enables participants to stay abreast of these developments. A first area of focus deals with Swiss international private law, in relation to matters of conflicts of law, particularly choice of law and choice of jurisdiction. In addition, European business law will be dealt with. Applicable laws for public limited companies and for corporations will be presented. Further, international business law will be discussed in depth. Special attention will be given to directives of international organizations related to the conduct of multinational corporations as well as to international corporate tax law.</p> <p>Secondly, because of an ever-strengthening international economic network, criminal behavior in the realm of business may have international components. Insider trading, corruption and money laundering are an example of this. The part Corporate criminal Law serves as an introduction to Criminal Business Law and deals with practical cases. In addition the fundamentals of international criminal law cooperation will be discussed as well as the legal situation in the EU and the efforts of international organizations in the area of criminal law.</p> <p>Lectures</p> <p>International Private Law 16 Lectures</p> <p>Corporate Law 20 Lectures</p> <p>Corporate Criminal Law 12 Lectures</p> <p>Capital Markets Law 8 Lectures</p>	1
2018	International Trust and Estate Planning 2018	<ul style="list-style-type: none"> •Planning for U.S. Clients Who Are Beneficiaries of Foreign Non-Grantor Trusts •Tax Transparency, Compliance, and Ethics: CRS and FATCA and related reporting •Developments in Anti-Money Laundering Rules, Transparency of Beneficial Ownership 	1

		<ul style="list-style-type: none"> • Inbound Planning Issues for Individual Non-resident Aliens and Investors • Outbound Planning for U.S. Individuals and Investors 	
2018	Kamloops Bar Association AGM Speakers: Miriam Kresivo, QC, and Michelle Stanford	<p>For the Kamloops Bar Association's Annual General Meeting, current Law Society President Miriam Kresivo, QC, will speak about general developments and initiatives within the Law Society of British Columbia. Afterwards, Kamloops local bencher Michelle Stanford will speak with respect to fast-moving developments in ethics and practice management, including money laundering and the recent SCC decision in <i>Groia v. Law Society of Upper Canada</i> (2018 SCC 27). This event is taking place at Frick'N'Frack Taphouse in Kamloops, BC at 5:00pm on Thursday, June 7, 2018. Members eligible to attend will need to be members of the Kamloops Bar Association in good standing with the KBA.</p>	12
2018	Know Your Client Rules (video version - original presentation March 14, 2013)	<p>This session helps to prevent money laundering, terrorism, fraud and other illegal activites. This course reviews the rules that must be complied with whenever a new client matter is opened. This is part of BLG 101 and is designed for all first-year associates and lateral hires.</p>	1
2018	Learning from Fraud Detection: Segmenting AML to Fight Financial Crime	<p>Learning from Fraud Detection: Segmenting AML to Fight Financial Crime</p> <p>Why do we think about AML as a single idea, when fraud is segmented specifically by customer, channel or loss type? In this insightful session, Jim Richards and Brendan Brothers discuss the limitations of the current one-size-fits-all approach to compliance and anti-money laundering. Learn why segmentation is effective at fighting fraud, and how these lessons can be applied to transform the AML industry.</p> <p>Learning Objectives</p> <ul style="list-style-type: none"> • Review of the limitations of current AML approaches and technologies to effectively fight financial crime. • Understand how segmentation improves fraud detection and how these lessons can be applied to strengthen anti-money laundering efforts. • Learn how innovative technologies and customer segmentation will transform the AML industry 	2
2018	London Full CCPG Training - Anti Money Laundering	<p>Compliance with The Money Laundering, Terrorist Financing and Transfer of Funds (Information of the Payer) Regulations 2017</p>	1
2018	McCarthy Tetrault Advance: Anti-Money Laundering De-risking in Financial Services	<p>Anti-Money Laundering De-risking in Financial Services - March 1, 2018</p> <p>The issue of “de-risking” as a result of anti-money laundering (AML) risk in financial services is gaining increasing prominence. On the one hand, increased regulatory scrutiny in the area of AML has led some financial institutions to seek to minimize their exposure to risk, and therefore to avoid doing business with clients in higher-risk areas. On the other hand, businesses in new and emerging industries (such as cryptocurrency or cannabis) can find gaining access to</p>	17

		the traditional banking system to be a significant challenge.
2018	Mega Case/Organized Crime Training Forum 2018: Technological Challenges and Solutions	<p>Mega Case/Organized Crime Training Forum 2018: Technological Challenges and Solutions [...]</p> <p>Day 1: Monday January 29, 2018 [...]</p> <p>3:15 – 5:00: Case Study: The Silk Road Tim Howard, Co-Chief of the Complex Frauds and Cybercrime Unit, U.S. Attorney's Office for the Southern District of New York</p> <p>Mega Case/Organized Crime Training Forum 2018: Technological Challenges and Solutions Location: Chestnut Residence & Conference Centre, 89 Chestnut St., Toronto Page 2</p> <p>Day 2: Tuesday January 30, 2018 9:00 – 10:00: Canadian Organized Crime Overview: Street Gangs A/Detective Sergeant Steve Kerr, Toronto Police Service (Guns and Gangs)</p> <p>10:00 – 10:45: Expert Evidence in Mega Cases – Independence and Impartiality Tom Lemon, Public Prosecution Service of Canada Scott Hutchison, Heinen Hutchison LLP</p> <p>L.S.O. Professionalism Hours: 0.25 hours</p> <p>10:45 – 11:00: Break</p> <p>11:00 – 11:45: Battling Encryption Sergeant Nicolas Bernier, Senior Cybercrime Instructor, Canadian Police College, R.C.M.P.</p> <p>11:45 – 12:00: Quick Hit: Hacking Investigations Dave Cobey, Technical Case Management Program, Technical Investigation Services, R.C.M.P.</p> <p>12:00 – 1:00: Lunch</p> <p>1:00 – 2:30: The Collection and Use of Social Media Information in ITOs and Court Allison Dellandrea, Crown Counsel, Crown Law Office Criminal</p> <p>L.S.O. Professionalism Hours: 0.25 hours</p> <p>2:30 – 2:45: Quick Hit: Three Dimensional Printing Vincent Paris, General Counsel, Guns and Gangs Initiative</p> <p>2:45 – 3:00: Break</p> <p>3:00 – 4:30: Presenting Digital Evidence in Court Andrew Sabbadini, Assistant Crown Attorney, Guns and Gangs Initiative</p> <p>Gerry McGeachy, Assistant Crown Attorney Detective Sergeant Matthew Hodges, Niagara Regional Police Service</p> <p>Sergeant Nicolas Bernier, Senior Cybercrime Instructor, Canadian Police College, R.C.M.P.</p> <p>L.S.O. Professionalism Hours: 0.25 hours</p> <p>Mega Case/Organized Crime Training Forum 2018: Technological Challenges and Solutions Location: Chestnut Residence & Conference Centre, 89 Chestnut St., Toronto Page 3</p> <p>Day 3: Wednesday January 31, 2017 9:00 – 10:00: Canadian Organized Crime Overview: Traditional Organized Crime Shayla Gibbs, Strategic Intelligence Analyst, Criminal</p>

Intelligence Services of Ontario
 10:00 – 10:15: Break
 10:15 – 11:00: Leveraging Modern day Communications Data
 Robert Aboumitchri, G.T.A. North Criminal Analysis Section Manager, Communications Data Analysis Team, R.C.M.P.
 11:00 – 12:00: Mega Cases in the Jordan era
 Michael Bernstein, Senior Counsel (Organized Crime), Crown Law Office Criminal L.S.O. Professionalism Hours: 0.25 hours
 12:00 – 1:00: Lunch
 1:00 – 2:00: Canadian Organized Crime Overview: Outlaw Motorcycle Gangs
 Rich MacKinnon, Biker Enforcement Unit
 2:00 – 2:15: Quick Hit: One Party Wires in Online Undercover Settings
 Allison Dellandrea, Crown Counsel, Crown Law Office Criminal
 2:15 – 3:00: Canadian Organized Crime Overview: Human Trafficking
 Sue Orlando, Provincial Coordinator of Human Trafficking Prosecutions, M.A.G.
 L.S.O. Professionalism Hours: 0.25 hours
 3:00 – 3:15: Break
 3:15 – 4:15: Applications, Search Engines, and Evidence.
 Daniel Peel, Criminal Intelligence Analyst O-INSET CAS, R.C.M.P.
 Patrick Gallant, Criminal Intelligence Analyst O-INSET CAS, R.C.M.P.
 4:15 – 5:00: Software Implantation
 Detective Sergeant Jennifer Spurrell, Ontario Provincial Police
 Detective Sergeant Jordan Whitesell, Ontario Provincial Police
 L.S.O. Professionalism Hours: 0.25 hours
 Mega Case/Organized Crime Training Forum 2018: Technological Challenges and Solutions
 Location: Chestnut Residence & Conference Centre, 89 Chestnut St., Toronto Page 4

Day 4: Thursday February 1, 2018
 9:00 – 9:30: Canadian Organized Crime Overview: Jails and Prisons
 John Ilika, Field Intelligence Officer, M.C.S.C.S.
 9:30 – 11:00: Darkweb Transactions
 Cst. Frank Dudas, R.C.M.P.
 Tim Howard, Co-Chief of the Complex Frauds and Cybercrime Unit, U.S. Attorney's Office for the Southern District of New York
 [...]
 1:00 – 2:30: Blockchains, Cryptocurrencies, and Money Laundering
 Matthew McGuire, the AML Shop
 Luc Major, Manager, Strategic Intelligence and Data Exploitation Lab (SIDEL), Financial Transactions and Reports Analysis Centre of Canada (FINTRAC)
 Gerry McGeachy, Assistant Crown Attorney
 L.S.O. Professionalism Hours: 0.25 hours
 2:30 – 3:15: Witnesses and Social Media
 Michael Callaghan, Assistant Crown Attorney,

		<p>Toronto Dawne Way, Barrister and Solicitor, Toronto L.S.O. Professionalism Hours: 0.25 hours 3:15 – 3:30: Break 3:30 – 4:30: Future Challenges Matt Asma, Crown Counsel, Crown Law Office Criminal Mabel Lai, Crown Counsel, Crown Law Office Criminal Andrew Sabbadini, Crown Counsel, Guns and Gangs Initiative L.S.O. Professionalism Hours: 0.25 hours Mega Case/Organized Crime Training Forum 2018: Technological Challenges and Solutions Location: Chestnut Residence & Conference Centre, 89 Chestnut St., Toronto Page 5 4:30 – 4:45: Closing Comments and Evaluation Total Substantive Hours (L.S.U.C.): 19 hours Total Professionalism Hours (L.S.U.C.): 3.5 hours</p>	
2018	Miller Thomson - Real Estate Fraud	<p>This presentation was intended to provide one hour of practice management / ethics related to real estate. Specifically it covered the details & examples of the below listed frauds along with providing flags and tips to help lawyers identify and avoid them:</p> <ul style="list-style-type: none"> - Mortgage Application Fraud / Oklahoma Flips - Title Fraud / Gill v. Bucholtz - Theft / Lin v. CIBC Mortgages Inc - Money Laundering 	1
2018	National CLE Program - Protecting Against Money Laundering (November 24, 2017) (Video Version)	<p>Law firms are often the target of money laundering, terrorist financing or other financial fraud-related schemes, and BLG is no exception. All BLG professionals must be constantly vigilant and follow all applicable procedures and policies. This program reviews current rules of professional conduct, legislation and firm policies that protect against money laundering, terrorist financing and sanctions violations and will also explain some of the more common money laundering schemes that can be encountered.</p>	4
2018	Politically Exposed Persons (PEPs) - Exposing the Facts	<p>According to Anti-Money Laundering (AML) and Anti-Corruption regulations, financial institutions must take reasonable measures to determine whether an individual is a Politically Exposed Person (PEP). By placing PEPs into a higher risk model for Enhanced Due Diligence, organizations can protect themselves from being used by money launderers and other harmful activities. At the same time, not all PEPs present the same level of risk. This will vary depending on numerous factors (including the PEP's country of jurisdiction, industry or sector).</p> <p>Learning Objectives:</p> <ul style="list-style-type: none"> •How regulations are changing – both domestic and foreign •Factors contributing to PEP risk – which PEPs may be riskier than others •Best practices for optimizing screening and monitoring – including cost-savings and efficiencies 	1
2018	Practice Direction - money laundering update	<p>Discussions on Money Laundering practices and methods; discussions on The Law Society Practice Direction on identifying and reporting of money</p>	2

		laundering incidence; Hong Kong legislation governing money laundering offences; record keeping and back ground check on clients.	
2018	Private Equity Overview	<p>1. Private Equity Fund Investing – A Primer – This presentation provides a “101” introduction to private equity fund investing, focused on North American funds. The presentation starts with a description of structuring options, fund documentation and investment process. This is followed by a summary of the key terms in limited partnership agreements that govern funds – e.g., investment period, subsequent closings, fund term, investment restrictions, fees and expenses, distribution waterfall, conflicts of interest and limited partner remedies. (30 minutes)</p> <p>2. Fund Investing – Recent Trends – An advanced-level presentation describing current trends in the market (e.g., focus on fee and expense transparency, market rates for management fees and carry and SEC enforcement actions). This presentation covers off private equity funds, but we can expanded to cover differences in other industries such as infrastructure, real estate and venture capital. (30 minutes)</p> <p>3. Passive Co-Investing – A Primer – This presentation looks at different co-investment structures, walks through the co-investment process from start to finish, examines the key terms of a co-investment (i.e., fees and expenses, affiliate transactions, pre-emptive rights, alignment on liquidity, syndication, amendment protection and information rights) and discusses helpful side letter provisions (i.e., MFN, transfer right, limitation and anti-money laundering, tax, etc.) (30 minutes)</p> <p>4. Private M&A – Recent Trends – In this presentation we would lead a deep-dive discussion into key private M&A terms in Canada and the US (i.e., purchase price adjustments, escrows, survival periods, indemnity limitations, sandbag provisions, etc.) referencing both our internal data and ABA studies. (30 minutes)</p>	1
2018	Recent Developments in Company Law	<ul style="list-style-type: none"> -significant controllers register - Companies Ordinance Pt 12 Div 2A - background papers - companies registry guidance: guideline on the keeping of significant controllers registers by companies (1 March 2018) -obligation on "applicable companies" , registrable persons and registrable legal entities as defined in s. 653A <ul style="list-style-type: none"> - keeping of SCR, required particulars: name, ID number, company registration number, correspondence address, registered office and nature of control; time for entry of particular and place for keeping of registers -ascertaining significant controllers - company must take reasonable steps to identify its significant controllers - keeping SCR up to date - offences by company; by person knowingly or recklessly making false or misleading statements in 	1

		<p>SCR:s 895 -access to SCR</p> <ul style="list-style-type: none"> - licensing of trust and company service providers - anti-money laundering and counter terrorist financing ordinance cap 615 <ul style="list-style-type: none"> - persons carrying on trust or company service business must be licensed with company registry - offence - carrying on such business without license s.53F - definition of trust or company service business -with respect to companies, the specified services include: forming corporations, acting or arranging for another person to act as director or secretary of a corporation, providing a registered officer nominee shareholder -exemption from licensing requirements -application for licence with registrar of companies -customer due diligence and record keeping requirements -open-ended fund companies - securities and futures ordinance cap 571 <ul style="list-style-type: none"> -securities and futures ordinance cap 571 -securities and futures (open-ended fund companies) rules cap 571AQ <ul style="list-style-type: none"> -background papers: financial services and treasury bureau, open-ended fund companies - consultation paper March 2014 and consultation conclusions January 2016 -directors' duties <ul style="list-style-type: none"> -directors' duty to exercise powers for proper purposes: Eclair Group Ltd v JKX Oil & gas plc [2016] BCC 79 -misappropriation of corporate assets: Karla Otto Ltd v Bulent Eren Bayram [2017] 2 HKLRD 124 -disqualification: SFC v Li Hejun [2017] 4 HKLRD 785 <ul style="list-style-type: none"> -Members' remedies : Shih-Hua Investment Co LTD v Zhang Aidong [2017] 3 HKC 393 -members' rights ; inspection of register of members -appointment of directors and irregularity principle -authority of directors to act for company -reduction of capital and solvency statement: BTI 2014 LLC v Sequana SA [2017] 1 BCLC 453 (Rose J, Ch D) -financial assistance for acquisition of shares -scheme of arrangement -corporate rescue and provisional liquidators -winding up 	
2018	Responding to Non-Compliance With Laws and Regulations (NOCLAR) For Client Service Professionals Performing Non-Audit Services (DPM 1553) (ID: CA-SC688)	Course description : Mandatory eLearning course for member firm professionals performing non-audit services for clients to enhance awareness of the requirements for responding to Non-Compliance With Laws and Regulations (NOCLAR) in accordance with IESBA Standards. (DPM 1553). The course provides information about the course of action to take if one comes across non-compliance or suspected non-compliance with laws and regulations (NOCLAR) in the course of a client service engagement other than an	1

		audit, as outlined in Deloitte Policy Manual (DPM) Section 1553. It is relevant to such matters as dealing with suspected money laundering, anti-money laundering requirements and whistle-blowing policies.	
2018	TI Canada Discussion Group Seminar	Discussing the topic of money laundering in BC and the Peter German Report commissioned by Attorney General David Eby	1
2018	Trust Accounting Essentials	<p>A full day of trust accounting to both educate and refresh participants on the Law Society's trust accounting requirements. There will be many practical examples that will be useful to both new and established firms, lawyers, and staff members.</p> <p>This course covers topics such as:</p> <ul style="list-style-type: none"> • opening and operating a trust account, • understanding trust reconciliations and the importance of timely and accurate preparation, • hands-on example of completing a trust reconciliation, • common compliance audit rule exceptions and misconceptions, • when to communicate with the Law Society, and include • anti-money laundering content. <p>This course was held prior at the Law Courts Center. We have refreshed the course and included new content. However, there will be similar content as present prior in the Trust Accounting 101 course.</p> <p>Location: Law Society 2nd Floor – room 220 Instructors: Justin Wright, Senior Trust Auditor Angela Porco, Trust Auditor</p> <p>Registration Fee: \$100.00, plus GST, per person.</p>	7
2018	UK Compliance - Annual Compliance Essentials	This course provides an overview regarding your responsibilities in relation to all the key aspects of Compliance. Topics covered include: anti-money laundering and counter-terrorist financing legislation, Know your Client processes and high sensitivity operations, global sanctions and embargoes	1
2019	10th Annual Law of Policing Conference (Vancouver)	<p>Policing is happening on street corners, on digital devices, and in boardrooms across the world. Organized crime, drug trafficking, money laundering and technology are all evolving while the powers and authorities governing police services are sprinting to keep pace. And while police departments are mandated to protect the public, professional standards teams are protecting police officers. Is your department prepared?</p> <p>Program Highlights:</p> <ul style="list-style-type: none"> - Panel: Enforcing Amendments to the Proceeds of Crime (Money Laundering) and Terrorist Financing Act - Evolving Privacy and Ethical Concerns in the Tech World - Initiating the Inadmissible Patrons Program (Bar Watch) - Top 15 Operational Issues in Policing 	12

		<ul style="list-style-type: none"> - The Police Officer's Guide to Independent - Police Oversight, Roles and Reports - Cross-Country Comparison on Information Checks - Judges' Panel: Advice from the Bench on - Common Legal and Policing Errors <p>Join the Canadian Institute's 10th Annual Law of Policing Conference for balanced, current presentations on the most pressing issues facing police services, police associations, police boards, independent police oversight agencies, and their counsel.</p>	
2019	2019 ACC Annual Meeting	<p>[...]</p> <p>Monday, October 28 4:30 PM - 6:00 PM</p> <p>406 - Know Your Customer: How to Mitigate the Risk of Bad Actors</p> <p>Presented by the ACC Compliance & Ethics Network</p> <p>Curricula: Compliance, Cross-border/Global, Government Regulation</p> <p>Speakers:</p> <p>Steve Ganis, Member, Mintz</p> <p>Laura Martino, Associate General Counsel, Global Jet Capital</p> <p>Avi Spira, Chief Compliance, Risk & Privacy Officer, FUJIFILM Holdings America Corporation</p> <p>Jennafer Watson, Director of Ethics & Compliance, Managing Counsel, Occidental Petroleum Corporation</p> <p>In-house counsel and their clients continue to face increased reputational and enforcement risks as the penalties for non-compliance reach record highs. These forces have 'awakened' many companies to expand their due diligence process to all counterparties in a commercial transaction. This includes vendors, sellers, customers and everything in between. This panel will discuss the full range of risks your company may face, including doing business with blacklisted or restricted persons, engaging third party intermediaries, and accepting funds from illicit sources. Panelists who have spent years in the trenches to mitigate 'bad actor' problems will discuss anti-corruption, anti-money laundering and sanctions risks in the wake of increased enforcement by OFAC, FinCEN, and SEC, offering practical insights and best practices to help companies lower their risk profile.</p> <p>[...]</p> <p>Tuesday, October 29 11:00 AM - 12:30 PM</p> <p>604 - Managing Anticorruption and Bribery Risks in the Oil and Gas Industry</p> <p>Presented by the ACC Compliance & Ethics and Energy Networks</p> <p>Curricula: Compliance, Cross-border/Global, Environment & Energy</p> <p>Speakers:</p> <p>Brent Benoit, Chief Compliance Officer, National Oilwell Varco</p> <p>Josh Kaplan, Lead Counsel, Equinor US Holdings Inc.</p>	19

Catherine Krupka, Partner, Eversheds Sutherland
 Sarah Paul, Partner, Eversheds Sutherland
 Amber Shushan, Senior Legal Counsel, PetroChina International (America), Inc.

The breadth and scale of the oil and gas industry, business activities in emerging markets, and the complex commercial relationships between oil and gas companies, governments, venture partners, suppliers, and other participants make the oil and gas industry at high risk for corruption and bribery. Drawing on lessons from recent oil and gas corruption investigations, this session will cover the areas of the supply chain that are most vulnerable; key steps for building an effective anti-corruption compliance program; and managing an internal investigation, enforcement inquiries, and remediation issues.

[...]

Tuesday, October 29
 2:30 PM - 4:00 PM

702 - When the Authorities Come Knocking: A Roundtable on Best Practices and Challenges in Avoiding and Dealing with Anti-Bribery Investigations

Presented by the ACC Compliance & Ethics Network
 Curricula: Compliance, Government Regulation Advanced

Speakers:

Chad Boudreax, VP Litigation & Chief Compliance and Privacy Officer, Huntington Ingalls Industries, Inc.

Catherine Hanaway, Partner, Husch Blackwell
 Randy Jones, Member, Mintz

John Wood, General Counsel, U.S. Chamber of Commerce

Every compliance practitioner dreads it: the call from an investigatory authority alleging that their company committed corruption or bribery. What can you do to prevent it? What do you do if it happens? At this roundtable discussion, attendees will be grouped by industry to work through a hypothetical scenario: what to do when the government comes knocking and how they could have prevented it in the first place.

Attendees will have the opportunity to learn from facilitators, and each other, about potential challenges and best practices.

[...]

Tuesday, October 29
 2:30 PM - 4:00 PM

704 - Staying Onside: The Nexus of Regulatory Risk and Business Growth

Presented in cooperation with Blake, Cassels & Graydon LLP

Curricula: Business & Leadership, Compliance, Corporate Governance, Government Regulation Gold Sponsor Interactive

Speakers:

Kathleen Keilty, Partner, Blake, Cassels & Graydon LLP

Michael Pass, Deputy Chief Compliance Officer, Freeport-McMoRan Inc.

Dara Redler, General Counsel and Corporate Secretary, Tilray
 Lisa Skakun, General Counsel & Chief Corporate Development Officer, Coast Capital Savings Federal Credit Union

A robust regulatory compliance program means developing, enabling, and managing a framework that promotes an ethical culture, legal compliance, regulatory compliance, and the infrastructure for preventing, detecting, and reporting wrongdoing. Alongside the effective management of compliance risks are operational, financial, and strategic expectations. The role of in-house counsel sits at this nexus and faces the challenge of ensuring regulatory compliance while also being viewed as a proponent of the business and an advocate for business growth. Our international panel will explore this challenge and focus on structuring an effective compliance program; communicating the benefits of compliance policies; and partnering with the board, management, and business units to assess risk, create thresholds, and incorporate regulatory compliance into business growth objectives. Part two of our program will be a roundtable breakout where participants will discuss the integration of their roles within the business to implement compliance programs that align with business objectives.

[...]

Tuesday, October 29

4:30 PM - 6:00 PM

812 - US National Security Law Update: What the Headlines Mean for Busy In-House Counsel
 Presented in cooperation with Morrison & Foerster LLP

Curricula: Compliance, Cross-border/Global, Data Privacy & Security, Government Regulation
 Gold Sponsor

Speakers:

Michael Bosworth, Deputy General Counsel, MacAndrews & Forbes

Heather Childs, Deputy Chief Compliance and Ethics Officer, Uber

Caroline Krass, Senior Vice President & General Counsel, General Insurance & Deputy General Counsel, American International Group, Inc.

David Newman, Partner, Morrison & Foerster LLP

Hear an experienced panel's take on what some of the biggest developments in national security over the past year mean for busy in-house counsel. Topics include high-profile indictments of China- and Russia-linked hackers, major changes in US sanctions policy, and important legislative reforms to US national security reviews of foreign investment (Committee on Foreign Investment in the United States (CFIUS) and Foreign Investment Risk Review Modernization Act (FIRRMA)) and the rules governing law enforcement requests for foreign-stored data (the Claritying Lawful Overseas Use of Data (CLOUD) Act). This wide-ranging discussion will get beyond the headlines and focus on trends and the implications that bear close

		watching by in-house counsel. Moderated by a former White House and US Department of Justice National Security official, the panel will bring together diverse perspectives of outside and in-house counsel who have been working on the front lines in these areas. [...]	
2019	21st Annual FCPA Conference in New York City	Please see attached agenda. The course covered legal topics related to anti-corruption including FCPA prosecution trends, conduct of internal investigations, recent cases and policy on FCPA enforcement, anti-corruption programs, cross-border prosecution issues, anti-money laundering and sanctions developments, third party data management to combat bribery, adequate internal controls, corruption red flags, function of Commodity Futures Trading Commission, data privacy/GDPR.	1
2019	3rd Annual Malta Workshop: Looking Ahead-The Future of Residency and Investment	Professionalism, licencing and ethics, Future of Residency and Citizenship by Investment, Future of Investment Migration, Maltese programs and investments, country benefits of programs, Brexit and immigration, due diligence, money laundering, cryptocurrency	1
2019	ACFE May 2019 Training Session	Themes for the 21st century anti-fraud professional (topics included anti money laundering and lawyers' trust accounts, deception detection, cybercrime strategies and report writing)	3
2019	ACTEC 2019 Summer Seminar	This one-day program will cover cross border considerations in estate planning. Topics to be discussed include the ethical obligations of lawyers in the fight against money laundering and terrorist financing, estate planning across the US-Canadian border; and how to plan for clients who travel and live internationally.	2
2019	AML Record-Keeping & Retention	Ashley Roberts, Group Compliance Office of Wakefield Quin, gave a lecture on the new obligations for lawyers and law firms in relation to anti-money laundering record-keeping, retention, and account closing requirements. The lecture provided a summary of the revised record-keeping requirements under the Companies Act 1981, including the internal closing procedures and retention requirements that must be followed for client documentation and the applicable penalties and fines that can be levied by the regulator.	1
2019	AML/ATF Training 2019	Ashley Roberts, Group Compliance Officer of Bermuda law firm Wakefield Quin Limited, gave a lecture summarising recent changes to Bermuda's anti-money laundering and anti-terrorism financing regulations, which included providing examples of common money laundering schemes and how lawyers can best identify and safeguard against such schemes. The lecture also highlighted lawyers' obligations under the Bermuda Bar (Barristers and Accountants AML/ATF Board) Rules 2018 and Corporate Service Provider Business Act 2012 and the internal controls to comply with and client due diligence documentation to obtain to properly identify and verify the identity of firm clients.	1

2019	Anti Money Laundering and Counter Terrorist Financing - Key Principles - 2019	<p>Objectives</p> <ul style="list-style-type: none"> - Introduction and definitions - The notions of Anti Money Laundering / Counter Terrorist Financig (AML/CTF) applicable to Financial Institutions - The importance for Financial Institutions to comply with AML/CTFregulations - The important role you play and what you can do to ensure compliance with AML/CTF policies / procedures put in place in Financial Institutions. <p>Description</p> <ol style="list-style-type: none"> 1. The learners will first have to go through a 10-question positioning quiz to assess their knowledge on AML / CTF key principles. 2. If they achieve a score of 90% or higher the learners will be informed right away that they don't have to continue the training on key principles. 3. If the learners do not reach 90% at the positioning quiz, they will be informed that they have to continue the training on key principles, followed by a final validation quiz. A minimum score of 80% is required to pass the quiz and receive completion for the training. 	1
2019	Anti-money Laundering	Overall review of the anti-money laundering legislation in Canada, impact on the legal profession and the compliance requirements.	1
2019	Anti-Money Laundering - Changes to Client Identification and Verification Rules Effective January 1, 2020 - December 10, 2019	Anti-Money Laundering - Changes to Client Identification and Verification Rules Effective January 1, 2020	21
2019	Anti-Money Laundering - Changes to Client Identification and Verification Rules Effective January 1, 2020 - December 18, 2019	Anti-Money Laundering - Changes to Client Identification and Verification Rules Effective January 1, 2020 - December 18, 2019	10
2019	Anti-Money Laundering - Changes to Client Identification and Verification Rules Effective January 1, 2020 - November 27, 2019	Anti-Money Laundering - Changes to Client Identification and Verification Rules Effective January 1, 2020	12
2019	Anti-Money Laundering 2019: Risks, Due Diligence and Compliance in an Evolving Legal and Technological World (Live Webcast)	Money laundering is a fast-growing problem in today's global economy. New financial technologies including online and peer-to-peer payment systems, prepaid access, cryptocurrency, and crowdfunding have joined well-established methods of laundering the proceeds of criminal activity and have served as platforms for terrorist finance. As new financial products and services are developed, regulators have proposed or implemented regulations to prevent their misuse including requiring providers to implement compliance programs. In addition, there has been a growing focus on the use of shell companies, offshore entities, trusts, and other legal entities to conceal the source or control of funds used to purchase assets and make investments. And, because so many white collar	1

		<p>offenses are money laundering predicate offenses, including tax violations, securities fraud, bank fraud, and other offenses, companies and professionals outside the financial sector need to be aware of anti-money laundering and counter terrorist finance (AML/CFT) laws and regulations.</p>	
2019	Anti-Money Laundering 2019: Risks, Due Diligence and Compliance in an Evolving Legal and Technological World (On-Demand)	<p>Money laundering is a fast-growing problem in today's global economy. New financial technologies including online and peer-to-peer payment systems, prepaid access, cryptocurrency, and crowdfunding have joined well-established methods of laundering the proceeds of criminal activity and have served as platforms for terrorist finance. As new financial products and services are developed, regulators have proposed or implemented regulations to prevent their misuse including requiring providers to implement compliance programs. In addition, there has been a growing focus on the use of shell companies, offshore entities, trusts, and other legal entities to conceal the source or control of funds used to purchase assets and make investments. And, because so many white collar offenses are money laundering predicate offenses, including tax violations, securities fraud, bank fraud, and other offenses, companies and professionals outside the financial sector need to be aware of anti-money laundering and counter terrorist finance (AML/CFT) laws and regulations.</p>	2
2019	Anti-Money Laundering and Anti-Terrorist Financing Amendments Q&A Webinar	<p>Chioma Ufodike, Manager, Trust Safety and Nancy Carruthers, Senior Manager, Policy and Ethics hosted a webinar on Sept. 19, focusing on the most frequently asked questions regarding the upcoming changes to the Anti-Money Laundering and Terrorist Financing Model Rules, effective Sept. 30, 2019.</p> <p>In the webinar, Chioma and Nancy discussed amendments to client identification and verification rules, as well as accounting rules governing the receipt of cash and the permitted use of lawyers' trust accounts.</p>	1
2019	Anti-Money Laundering and Anti-terrorist Financing Rule Amendments	<p>Three lawyers from Miller Thomson LLP will conduct an overview of anti-money laundering and anti-terrorist financing rule amendments. This will review all amendments that will take effect on September 30, 2019 for all law societies that are part of the federation of law societies of Canada.</p>	1
2019	Anti-Money Laundering Client Identification & Verification	<p>CLE Web Broadcast to learn about the Changes to Client Identification and Verification Rules related to Anti-Money Laundering Effective January 1, 2020</p>	3
2019	Anti-Money Laundering E-Learning Course	<p>On-line course for updated compulsory anti-money laundering regulations and guidelines with testing at the conclusion</p>	1
2019	Anti-Money Laundering for Lawyers and Law Firms (CLEBC)	<p>Pre-recorded CLEBC presentation by Barb Buchanan and Scott Bartos on how to protect your firm from unwittingly engaging in money laundering.</p>	7
2019	Anti-Money Laundering Legislation Update	<p>This course covers recent developments arising from Anti-Money Laundering and Countering Financing of Terrorism Act. Topics include the 2020 assessment to be undertaken by the Financial Action Task Force and</p>	1

		lessons learned arising from the recent events in Christchurch.	
2019	Basics of Export Controls 2019	<p>In an age of fast-evolving geopolitical relations, security challenges and sanctions policies, the rules of international trade are affecting U.S. and multinational corporations, financial institutions, investors and even governments as never before. The Commerce Department's Bureau of Industry and Security (BIS), the State Department's Directorate of Defense Trade Controls (DDTC), and the Treasury Department's Office of Foreign Assets Control (OFAC), Financial Crimes Enforcement Network (FinCEN) and now the Committee on Foreign Investment in the United States (CFIUS) each plays an important role in administering and enforcing the intricate web of restrictions governing trade in U.S. products and technologies, the trade-related activities of U.S. parties and the financial transactions that make them possible.</p> <p>Understanding the potential scope and applicability of these various regulatory programs to global business operations is increasingly important in an era of heightened agency enforcement and enhanced penalties. And a thorough understanding of these various regulatory regimes is an essential foundation for developing an effective global trade compliance program.</p> <p>Aaron R. Hutman of Pillsbury Winthrop Shaw Pittman LLP and Joshua N. Williams of Covington & Burling LLP will discuss:</p> <ul style="list-style-type: none"> • The basic elements of the export control regimes administered by BIS and DDTC • The various economic sanctions programs administered by OFAC • The overlap of sanctions and export control rules with anti-money laundering regulation and the role of financial institution “gatekeepers” • The new role of CFIUS under its recently-announced Pilot Program • Enforcement trends <p>This Briefing is scheduled as a review of the fundamentals before PLI’s more advanced Coping with U.S. Export Controls and Sanctions 2019 program, being held on December 12-13, 2019 in Washington, D.C. Please register for the two-day program and receive this Briefing free as part of your registration.</p>	1
2019	Both Sides of the (Bit)Coin	<p>This event is hosted by the International Centre for Criminal Law Reform and Criminal Justice Policy with generous support from TRACE and will be followed by TRACE’s inaugural Bribery and Economic Crime Summit: Promoting Transparency on June 26-27, 2019.</p> <p>1:00 - 2:15pm The Possibilities of Blockchain Moderator: Dr. Gerry Ferguson (University of Victoria) Panel Speakers:</p>	1

		<p>Dr. Chris Rowell (Postdoctoral Research and Teaching Fellow at the University of British Columbia): Blockchain 101. What is blockchain and how can blockchain help to bring trust to records and transactions, and prevent corruption?</p> <p>Cap. Aaron Gilkes (RCMP, Integrated Technological Crime Unit): Investigators' views on cryptocurrency use in money laundering and other offence.</p> <p>Kris Constable (Canadian Institute for Information and Privacy Studies Society): Privacy and cybersecurity, possibilities for using blockchain to protect privacy and prevent cybercrimes.</p> <p>2:30 - 3:30pm The Revenue Canada Agency Scam: Tracing Illicit Bitcoin Transactions</p> <p>Speaker: Dr. Richard Frank (International Cybercrime Research Centre)</p>	
2019	Bribery and Economic Crime Summit: Promoting Transparency	<p>This event will explore the world of corruption and related financial crime and what can be done to detect, prevent and reduce bribery, money laundering, and fraud and to foster collaboration among key stakeholders. Speakers and participants will include high profile prosecutors, business leaders and global experts. Discussions will involve all participants and aim to produce actionable takeaways. Participation is limited to senior representatives of the private sector, academia, and government.</p>	2
2019	CFM Study Group - Lawyer Ethics and Professionalism: Current Issues	<p>This session will cover current ethical challenges facing lawyers and the profession. It will be presented in 3 sections:</p> <ol style="list-style-type: none"> 1. Top 5 conduct and practice issues the Law Society of BC is dealing with 2. Other professional issues 3. Ethical scenarios <p>The session will address:</p> <ul style="list-style-type: none"> • the importance of the role of lawyers as gatekeepers in preventing money laundering • the Law Society of BC's complaints and discipline processes • issues encountered by litigators and specifically those practicing in the areas of tort and class action • crossing the US border • civility and the Supreme Court of Canada decision in <i>Groia v. Law Society of Upper Canada</i> • the Law Society of BC's Law Firm Regulation initiative 	6
2019	CLEBC Anti-Money Laundering for Lawyers and Law Firms - REBROADCAST 161819	<p>Wondering how money laundering impacts your clients? Get up to date on Canada's anti-money laundering ("AML") legislation, which affects tens of thousands of Canadian companies. This course will also cover developments in prosecuting and defending proceeds of crime cases, civil forfeiture, and a lawyer's professional obligations related to AML. You will leave this course with knowledge to protect and advise your clients, at a time when money laundering is nearly a daily news item in BC. Speakers will</p>	31

		<p>include the Attorney General of BC along with specialists in the AML field.</p> <p>A minimum of 1 hour pertaining to professional responsibility and ethics, client care and relations, and/or practice management.</p>	
2019	CLEBC Anti-Money Laundering for Lawyers and Law Firms -161819	<p>Wondering how money laundering impacts your clients? Get up to date on Canada's anti-money laundering ("AML") legislation, which affects tens of thousands of Canadian companies. This course will also cover developments in prosecuting and defending proceeds of crime cases, civil forfeiture, and a lawyer's professional obligations related to AML. You will leave this course with knowledge to protect and advise your clients, at a time when money laundering is nearly a daily news item in BC. Speakers will include the Attorney General of BC along with specialists in the AML field.</p> <p>A minimum of 1 hour pertaining to professional responsibility and ethics, client care and relations, and/or practice management.</p>	85
2019	CLEBC CLE-TV: Anti-Money Laundering - Client Identification and Verification Rules -168319	<p>Law Society Rules 3-98 to 3-109 require lawyers to follow client identification and verification procedures when retained by a client to provide legal services. The rules are a key part of the Society's efforts to combat money laundering and terrorist financing. Lawyers who do not comply with the rules may be subject to discipline.</p> <p>Learn about Law Society requirements and new developments.</p> <p>This course will involve a minimum of 1 hour pertaining to professional responsibility and ethics, client care and relations, and/or practice management.</p>	186
2019	CLEBC CLE-TV: Anti-Money Laundering - Client Identification and Verification Rules REBROADCAST -168319	<p>Law Society Rules 3-98 to 3-109 require lawyers to follow client identification and verification procedures when retained by a client to provide legal services. The rules are a key part of the Society's efforts to combat money laundering and terrorist financing. Lawyers who do not comply with the rules may be subject to discipline.</p> <p>Learn about Law Society requirements and new developments.</p> <p>This course will involve a minimum of 1 hour pertaining to professional responsibility and ethics, client care and relations, and/or practice management.</p>	107
2019	CLEBC CLE-TV: Anti-Money Laundering for Lawyers and Law Firms - REBROADCAST -160518	<p>As lawyers, you receive and disburse large sums of money on a regular basis, leaving you and your firm vulnerable to money laundering attempts. Join us for a focused 90 minute session on how to protect your firm from unwittingly engaging in money laundering. You will leave this session understanding your obligations as a lawyer, and tools to ensure that you are compliant and prepared to handle situations that raise money laundering risks.</p>	5

		<p>Join us and be smart in an era of increasing money laundering scrutiny today!</p> <p>A minimum of 1.5 hours will involve aspects of professional responsibility and ethics, client care and relations, and/or practice management.</p>	
2019	Client Risk Assessments	<p>Ashley Roberts, Group Compliance Officer of Bermuda law firm Wakefield Quin Limited, gave a lecture summarizing recent rules regarding anti-money laundering obligations to follow when entering into new engagements with clients and specifically how to properly risk assess potential clients and complete and file client risk assessments for new clients as well as “re-risking” existing clients. The lecture also summarized how the Bermuda Monetary Authority will monitor and evaluate compliance with these AML requirements.</p>	1
2019	Compliance with the Proceeds of Crime Money Laundering and Terrorist Financing Act	<p>The Financial Transactions and Reports Analysis Centre of Canada (FINTRAC) will be conducting a seminar. This seminar is designed to address the implementation and maintenance of a compliance program as well as client identification, record keeping and reporting obligations in accordance with the Proceeds of Crime Money Laundering and Terrorist Financing Act (PCMLTFA). FINTRAC will address this by providing an overview of:</p> <ul style="list-style-type: none"> - Securities dealers' PCMLTFA obligations, the examination process and assessment approach with a focus on a compliance program's overall effectiveness; - Common deficiencies observed in examinations conducted in this sector and best practices; and - The role and importance of Securities dealers in submitting suspicious transaction reports. 	2
2019	Complying with Canada's Amended Anti-Money Laundering and Anti-Terrorist Financing Legislation	<p>Recent amendments to the Proceeds of Crime (Money Laundering) and Terrorist Financing Act may have implications for your accounting practice. Discover what your obligations are under this updated Act, and how to make sure your organization follows the new rules, with our informative webinar, Compliance with Canada's Amended Anti-Money Laundering and Anti-Terrorist Financing Legislation.</p> <p>This webinar will also explain the role of the Financial Transactions and Reports Analysis Centre of Canada in ensuring adherence to the legislation.</p> <p>You will learn about:</p> <ul style="list-style-type: none"> the features of Canada's AML program changes to accountants' AML obligations how to update your organization's compliance program 	2
2019	Conference Day	<p>Common Practice Review Deficiencies; The Power of Trusts in Wealth Management; 5 Steps to Converting Facebook Ads; Money Laundering; The Mortgage Investment Corp (MIC) - RRSP Rules and Impact of Prohibited Investment Rules; Informal Tax Court, how to represent your clients; Managing Workplace Stress: Signs and Strategies; I have a Claim... or do I?; Artificial Intelligence</p>	1
2019	Customer Screening	<p>Ashley Roberts, Group Compliance Officer of Wakefield Quin, gave a lecture on law firms' customer screening requirements as set out in Bermuda's</p>	1

		various anti-money laundering and anti-terrorist financing regulations. The lecture included a summary and analysis of the rationale behind the Bermuda Monetary Authority's recent fines levied against corporate service providers, and identified the types of client documentation that should be obtained for different categories of clients and what verification techniques lawyers can use to satisfy AML/ATF requirements.	
2019	Cyber Security - The Invisible War	<p>Our presenter, Chris Mathers, will speak about Cyber Security awareness and prevention solutions. Chris is a former undercover law enforcement officer, expert on fraud, cyber-crime, money laundering, compliance and security. The presentation will include discussions of the following:</p> <ul style="list-style-type: none"> • Who are the threat actors? • How to identify typical IT threats to law firms • Password management • Availability of stolen credentials on the internet and how law firms are vulnerable • IT security while traveling • The latest trends in internet crime • IT threats to you and your family <p>We will offer this session twice throughout the day: from 9:00 to 10:00 and from 12:00 to 1:00.</p>	6
2019	Disrupting Money Laundering	<p>DISRUPTING MONEY LAUNDERING 9:00 am – 12:00 pm</p> <p>Reports commissioned by the Ministry of Finance and the Attorney General have cast a light on the societal harm resulting from money laundering. Not only does money laundering play a critical role in sustaining the criminal economy, but it is also a significant contributor to the escalation of housing costs in B.C.'s communities. This policy session will draw upon a range of experts from the fields of criminal law, investigation, enforcement, and regulation to explore the effects of money laundering on BC communities. This session will also explore investigative and prosecutorial and regulatory changes needed at all levels of government to build a more effective anti-money laundering regime, with a particular focus on disrupting the illegal activity of money laundering in BC real estate.</p>	3
2019	Ethics in Evolving Compliance Requirements	<p>The constantly shifting landscape of laws aimed to prevent money laundering, terrorism and tax evasion creates numerous landmines for legal professionals. Violations can result in substantial fines and possibly cost uninformed attorneys their license.</p> <p>Learn the laws and governing agencies to watch, and the conflicts that can arise between statutory formation requirements and ethics guidelines. We'll cover the current lay of the land, discuss the potential impact of legislation now pending, and delve into the ABA Model Rules of Professional Conduct.</p>	1
2019	Facing the Future Together, Creating Synergies and Achieving Global Reach	Business law conference for global and international lawyers on various topics, such as: (1) FINTECH and cybersecurity; (2) Money Laundering and Digital Economic Crimes; (3) Digitization of Mortgage	1

		Market; (4) Family Governance for International Family Businesses; (5) Secure e-mail communications for lawyers; (6) Working with in-house counsel; (7) Current Global Market Conditions.	
2019	FINTRAC Overview	Counsel and an investigator working with FINTRAC outlined the work of FINTRAC and conducted an overview of the Proceeds of Crime (Money Laundering) and Terrorist Finance Act. The legislative obligations on counsel and other professions was reviewed and the presenters provided case scenarios to prompt discussion about the application of the Act.	3
2019	Harris In-house Webinar: CLEBC Anti-Money Laundering – Client Identification and Verification Rules	Law Society Rules 3-98 to 3-109 require lawyers to follow client identification and verification procedures when retained by a client to provide legal services. The rules are a key part of the Society's efforts to combat money laundering and terrorist financing. Lawyers who do not comply with the rules may be subject to discipline.	9
2019	In-House Counsel Professional Development Series 2019 - Session 3	BUSINESS CRIME & INVESTIGATIONS This session featured a key note address from former RCMP Deputy Commissioner Peter German on Money Laundering in Canada. Additional topics discussed included: <ul style="list-style-type: none">• Investigations – Why Words Matter• Anti-Money Laundering and Economic Sanctions – Update on Recent Developments• Corruption & Procurement Fraud• Panel Discussion: What can we do about it?	86
2019	Jenkins Marzban Logan - In House Seminar - Anti-Money Laundering - Client Identification and Verification Rules	CLE-TV: Anti-Money Laundering - Client Identification and Verification Rules	2
2019	Know your Client / Anti-Money Laundering Webinar	Course Description by provider: "There are changes coming which impact our firm's Know Your Client / Anti-Money Laundering process effective January 1, 2020 and we want to make sure that everyone is informed and up to speed. Many of you may have already heard from your Province's Law Society directly about these changes and may have attended a session. While the changes need to be understood by everyone, they are not considered to be drastic. We will be taking this opportunity to unify our forms and processes across the firm."	1
2019	Law Firm Accountants Summer 2019 Conference	Keynote address by Professor Maureen Maloney with respect to her recent report about money laundering, Combatting Money Laundering in BC Real Estate.	1
2019	Lawyers and Money Laundering	David McCartney (Investigator with the Law Society of BC) and John N Ahern (National Special Advisor, RCMP Federal Policing) provided a presentation to staff at the Office of the Superintendent of Real Estate (OSRE). (Several OSRE staff are lawyers.) The presentation was titled "Lawyers and Money Laundering" and discussed LSBC discipline decisions involving potential money laundering activities, case law related to attempts to include lawyers in	1

		PCMLTFA reporting obligations, solicitor client privilege, and relevant Law Society Rules (i.e. Rule 3.2-7). The presentation included ethical and other regulatory concepts.	
2019	Money Laundering & Terrorist Financing: The Life Insurance Focus	"Money Laundering & Terrorist Financing: The Life Insurance Focus" was a seminar that was provided by ABC Solutions Inc. at the Insurance Council of BC's offices on September 30, 2019. The seminar provided information on Canadian anti-money laundering laws, how to detect potential money laundering, and what the legislated reporting obligations are for life insurance companies, brokers, and agents.	1
2019	Money Laundering in Canada 2019	ABCsolutions' annual conference promises to be informative and pragmatic, looking at trending crimes, risks, compliance practices, and regulatory change. For 2019, we have consulted various experts to identify compliance management topics that create challenges in their interpretation and/or application. Others will speak to money laundering topics and trends they are currently examining, identifying associated threats and red flags that can be used by reporting entities and regulators alike to manage the risks. Common compliance program practices will be compared to regulatory standards to identify application limitations that could result in a deficiency ruling during an effectiveness examination	1
2019	Money Laundering in the BC Real Estate and Luxury Vehicle Markets	The ACLP event to be held on June 11, 2019 will feature a discussion of two recent independent review reports released a few weeks ago on the subjects of Money Laundering in the BC Real Estate and Luxury Car Markets.	6
2019	Money Laundering Introduction and Typologies for Legal Profession	Presentation from RCMP Financial Integrity, Team Lead, on money laundering: (1) Introduction to what constitutes money laundering under the Criminal Code and recent amendment (2) Discussion of offences that generate proceeds of crime (3) Fintrac's role and identifying proceeds of crime (4) Typologies of money laundering	12
2019	National CLE Program - Protecting Against Money Laundering (November 24, 2017) (Video Version)	Law firms are often the target of money laundering, terrorist financing or other financial fraud-related schemes, and BLG is no exception. All BLG professionals must be constantly vigilant and follow all applicable procedures and policies. This program reviews current rules of professional conduct, legislation and firm policies that protect against money laundering, terrorist financing and sanctions violations and will also explain some of the more common money laundering schemes that can be encountered.	5
2019	New AML Regulations	The long-expected amendments to regulations under the Proceeds of Crime (Money Laundering) and Terrorist Financing Act (PCMLTFA) have been published in the July 10, 2019 edition of the Canada Gazette, Part II. Released in draft form in mid-2018, the proposals were subject to several rounds of consultations involving all reporting entity (RE) sectors, including	1

		<p>credit unions. The final version of the new regulations are outlined in SOR/2019-240, and cover changes to a wide range of issues, including Suspicious Transaction Reporting (STR), Electronic Funds Transfers (EFT), and Beneficial Ownership. The revisions also modify and/or now expressly regulate, Money Services Businesses, Virtual Currency and Prepaid Payment Products.</p> <p>While these amendments will no doubt require substantive changes to current credit union policies and procedures, most will come into effect June 1, 2020 or June 1, 2021. The one notable—and favourable—exception to this are changes to the methods that can be used to identify an individual, which came into effect June 22, 2019.</p> <p>To assist credit union understanding of the amendments, CCUA is hosting a free webinar with Jackie Shinfield, AML regulation expert and Partner in the Financial Services Group at Blake, Cassels & Graydon LLP, to be held on Wednesday, July 24 from 1:00 – 3:00 p.m. ET. Click here to register.</p>	
2019	NextGen AML monitoring: Advanced analytics and machine learning	<p>Financial institutions are exploring more sophisticated anti-money laundering (AML) transaction monitoring approaches that use advanced analytics and artificial intelligence. The transition from traditional monitoring systems to next-generation approaches requires careful planning and execution. We'll discuss:</p> <ul style="list-style-type: none"> • Why organizations are considering next-generation models. • Hurdles organizations must overcome and key steps for planning the transition. • How organizations can effectively execute their plan and drive toward business as usual. <p>Participants will learn how a phased approach can help them successfully transition to a next-generation AML solution that can efficiently and effectively combat money laundering and terrorist financing.</p>	1
2019	Overview of Hong Kong Financial Crime Laws and Regulations	<p>Course objective: Overview of Hong Kong's Financial Crime Laws & Regulations</p> <p>Course outline: The course will cover the following areas</p> <ul style="list-style-type: none"> • Anti-Money Laundering and Counter-Terrorist Financing • Sanctions • Bribery & Corruption • Case studies (including international cases) 	1
2019	PJH ATTENDING GROUP STUDY - MIRADOR LAW CORP.	<p>Thursday, November 28 (9:00 am - 3:00 pm)</p> <ul style="list-style-type: none"> • Cannabis Roundtable (1.5 hours + 30 minute discussion) (2 hours total) • Film – Puncture (1 hour and 40 minutes + 20 minute discussion) *Ethics and Professionalism Credits* (2 hours ethics) • Revamping Canada's Anti-Money Laundering Rules: What's New, What's Changed and What It Means for Business (1 hour) • Commercial Lending Presentation by Pat Haberl (1 hour) 	1

2019	PMAC Full Day Regulatory & Compliance Forum	This program covers issues ranging from securities regulatory developments, privacy and cyber, anti-money laundering and anti-terrorist financing and regulatory audit practices and findings. Please refer to the agenda, below:	4
2019	Preventing Money Laundering and Terrorist Financing	This course sets out how to identify money laundering and terrorist financing in the corporate world, and the appropriate legal steps to take when spotted	1
2019	Property Deception and Anti Money Laundering	Property deception cases involving clients and employees discussed ;management issues to avoid and spot deceptive practices ; Anti-money Laundering laws in Hong Kong ; office management procedures to monitor AML practices.	1
2019	Revamping Canada's Anti-Money Laundering Rules: What's New, What's Changed and What It Means for Business	The wait is now over - Since the proposed amendments to the regulations to the Proceeds of Crime (Money Laundering) and Terrorist Financing Act one year ago, regulated entities have been awaiting for the final regulations to be released. After numerous rounds of consultations with the Financial Transactions and Reports Analysis Centre of Canada (FINTRAC), the regulations were released on June 22, 2019.	18
2019	The Dangerous Client and the Dangerous Solicitor? and RME elective for legal practitioners on risk management strategies and systems for the avoidance of bribery and corruption	Discussion of effective risk management strategies and systems within law firms <ul style="list-style-type: none">- who is most dangerous for risk assessment, partner, solicitor or the junior employee in the law firm?- is the problem of identifying the dangerous junior employee more difficult than identifying the dangerous solicitor or partner?- are all 3 acting as "agents" of the law firm?- available risk management tools for law firms<ul style="list-style-type: none">- the two partner rule- the opinions committee- formal audit program to check compliance- appointment of designated partner in charge of risk management issues- embedded culture of billable hours in law firms - a solution for avoidance of bribery and corruption?<ul style="list-style-type: none">- the billing system in law firms creates a risk management problem of rewards- can law firms have an alternative system of rewards?<ul style="list-style-type: none">- analogies with obligations of solicitor imposed in context of anti-money laundering due diligence- risk assessment and 5 types of client risk for bribery and corruption<ul style="list-style-type: none">- country; sectorial, transaction; business opportunity and business partnership risks- Mercer's typologies of the dangerous lawyer- the source of law regulating a HK solicitor's conduct and the solicitor's duty to report misconduct<ul style="list-style-type: none">- the law society's guide to professional conduct; solicitors' Practice Rule 5D- the dangerous client meets the dangerous solicitor in criminal litigation<ul style="list-style-type: none">- risk management tools for rule 5D- options - the views of the partners? whistleblowing- better late than never?- discussion of Phillip KH Wong Kennedy YH Wong	1

		<p>& Co (a firm of solicitors) & Another v the commissioner of the ICAC [2009] HKCU 483</p> <ul style="list-style-type: none"> - the ICAC Ordinance Cap 204 - powers to search - section 10B - claim of legal professional privilege? - risk communication and risk management 	
2019	The Downstream Impact on Real Estate of the Focus on Money Laundering	<p>On behalf of the Anti-Corruption Law Program (ACLP), which is a joint program under a collaborative working partnership of the Peter A. Allard School of Law at UBC, the International Centre for Criminal Law Reform and Criminal Justice Policy (ICCLR) and Transparency International Canada (TI Canada), we are pleased to invite you to attend our 19th ACLP education event. This event, which is presented as a TI Canada Vancouver Discussion Group seminar, will feature a discussion of the downstream impact of emerging government interventions in the real estate market that have resulted from allegations of real estate - related money laundering.</p> <p>The Metro Vancouver housing market is in the midst of an undeniable downturn. New regulatory measures including the BC Foreign Buyers Tax and the Speculation and Vacancy Tax have proven effective in curbing foreign investment appetite. Despite these successes, recent revelations on the pervasiveness of financial crime and money laundering in Vancouver's real estate market has placed increased scrutiny on the region's housing affordability crisis. In light of this changing landscape, governments at all levels are expected to take urgent action, especially following commitments made during the 2019 federal election campaign.</p> <p>Join us on Thursday, November 7 for a panel discussion on the downstream impact of emerging government interventions and changing regulatory framework on Vancouver's real estate market and housing affordability.</p> <p>Leading the seminar discussion will be a panel of experts consisting of:</p> <p>Mr. Sean Boyle, Partner, Blake Cassels & Graydon LLP – Moderator Mr. Ryan Lang, Director, Deloitte LLP - Panelist Dr. Tsur Somerville, Associate Professor, Sauder School of Business at UBC – Panelist Mr. Michael Noseworthy, Superintendent of Real Estate, Government of BC - Panelist</p>	11
2019	Trust Accounting Course	<p>Full day of trust accounting to both educate and refresh participants on the Law Society's trust accounting requirements. There will be many practical examples that will be useful to both new and established firms, lawyers, and staff members. An additional course will be offered in November. Date to be determined.</p> <p>This course covers topics such as:</p> <ul style="list-style-type: none"> • opening and operating a trust account, 	22

		<ul style="list-style-type: none"> • understanding trust reconciliations and the importance of timely and accurate preparation, • hands-on example of completing a trust reconciliation, • common compliance audit rule exceptions and misconceptions, • when to communicate with the Law Society, and include • anti-money laundering content. <p>Location: Law Society 2nd Floor – room 204 Instructors: Krista Adamek, Audit Team Leader David Cho, Trust Auditor Registration Fee: Free</p>	
2019	Trust Accounting Course (full)	<p>Full day of trust accounting to both educate and refresh participants on the Law Society's trust accounting requirements. There will be many practical examples that will be useful to both new and established firms, lawyers, and staff members. An additional course will be offered in November. Date to be determined.</p> <p>This course covers topics such as:</p> <ul style="list-style-type: none"> • opening and operating a trust account, • understanding trust reconciliations and the importance of timely and accurate preparation, • hands-on example of completing a trust reconciliation, • common compliance audit rule exceptions and misconceptions, • when to communicate with the Law Society, and include • anti-money laundering content. <p>Location: Law Society 2nd Floor – room 204 Instructors: Krista Adamek, Audit Team Leader David Cho, Trust Auditor Registration Fee: Free</p>	45
2019	Trust Accounting Essentials	<p>A full day of trust accounting information to both educate and refresh participants on the Law Society's trust accounting requirements.</p> <p>This course covers topics such as:</p> <ul style="list-style-type: none"> • opening and operating a trust account, • understanding trust reconciliations and the importance of timely and accurate preparation, • hands-on example of completing a trust reconciliation, • common compliance audit rule exceptions and misconceptions, • when to communicate with the Law Society, and include • anti-money laundering content. 	13
2019	Trust Accounting Essentials	<p>A full day of trust accounting to both educate and refresh participants on the Law Society's trust accounting requirements. There will be many practical examples that will be useful to both new and</p>	9

		<p>established firms, lawyers, and staff members.</p> <p>This course covers topics such as:</p> <ul style="list-style-type: none"> • opening and operating a trust account, • understanding trust reconciliations and the importance of timely and accurate preparation, • hands-on example of completing a trust reconciliation, • common compliance audit rule exceptions and misconceptions, • when to communicate with the Law Society, and include • anti-money laundering content. <p>Location: Law Society 2nd Floor – room 220 Instructors: Justin Wright, Senior Trust Auditor Angela Porco, Trust Auditor Registration Fee: \$100.00, plus GST, per person.</p> <p>***please note, attendance to this course will provide you with 2 hours of ethics and professional responsibility component for your BC Law Society reporting. ***</p>	
2019	What Was That? - An Introduction to Cryptocurrency	<p>The intense mania of 2017-2018 has receded but cryptocurrencies continue to pose interesting questions for Canadian lawyers, such as: What are cryptocurrencies? Where do they come from? How are they regulated? Why might cryptocurrencies present money laundering issues? What's the difference between securities tokens and tokens treated as securities? This session will give an accessible introduction to these questions.</p>	3
2020	A New Reality In Real Estate: Non-Resident Clients, Money Laundering and Client Identification Requirements	<p>Real estate practitioners from coast to coast are confronted with increased governmental attention to non-resident investment in Canadian real estate. This program will explore the legal and regulatory issues real estate lawyers must confront, including non-resident withholding tax issues that can arise when representing a landlord or vendor, as well as collateral issues that have arisen when purchasing from an enforcing mortgage lender. Concerns about non-resident money laundering in the real estate industry and avoidance strategies, including the importance of client identification, will be addressed.</p> <p>Topics will include:</p> <p>Dealing with non-resident vendors: s. 116, of the ITA Residency and mortgage enforcement Non-resident money laundering: concerns, the reality, and warning signs Client identification Non-resident buyers and beneficial ownership</p>	10
2020	A New Reality In Real Estate: Non-Resident Clients, Money Laundering and Client Identification Requirements (RECORDING)	<p>Real estate practitioners from coast to coast are confronted with increased governmental attention to non-resident investment in Canadian real estate. This program will explore the legal and regulatory issues real estate lawyers must confront, including non-resident withholding tax issues that can arise</p>	2

		<p>when representing a landlord or vendor, as well as collateral issues that have arisen when purchasing from an enforcing mortgage lender. Concerns about non-resident money laundering in the real estate industry and avoidance strategies, including the importance of client identification, will be addressed.</p> <p>Topics will include:</p> <ul style="list-style-type: none"> Dealing with non-resident vendors: s. 116, of the ITA Residency and mortgage enforcement Non-resident money laundering: concerns, the reality, and warning signs Client identification Non-resident buyers and beneficial ownership 	
2020	A Threats and Safeguards Approach to Ethical Decision Making	<p>Regardless of your specific role as a CPA, your employer and/or clients have high expectations of your ability to address ethical challenges, such as those that are driven by:</p> <ul style="list-style-type: none"> * changing social norms * complexity of the work environment * technology and misinformation * inherent bias and the impact on objectivity * pressure from clients and employers * inducements, including bribery and corruption * climate change * money laundering risks <p>In this session, you will be guided through a systematic process to:</p> <ul style="list-style-type: none"> * collaboratively explore the issue, * evaluate the situation in the context of the Fundamental Principles, and * use the CPA Code to plan how to manage and address challenges through appropriate safeguards 	1
2020	AML for Directors 2020	<p>The course reviews Canadian anti money laundering laws and the obligations upon Credit Unions to comply. I am required to take the course in connection with my role as a director of a credit union. The course deals with governance issues regarding implementation, compliance, testing and adequacy of AML policies and procedures. The course has a test at its completion, which I completed and scored 100%.</p>	1
2020	AML Regulations Yet More Amendments	<p>On February 15, 2020, the Department of Finance published further proposed amendments to the regulations under the Proceeds of Crime (Money Laundering) and Terrorist Financing Act. These amendments are proposed to come into force on June 1, 2021.</p> <p>Please join our webcast as we provide an overview of:</p> <ul style="list-style-type: none"> • Changes to the Business Relationship and Ongoing Monitoring Standards • Politically Exposed Persons • Beneficial Ownership • MSBs • Casinos • Risk Assessments 	5
2020	AML Session-Lawyers as Gatekeepers	<p>This session was for IME lawyers and Discipline counsel to discuss AML obligations and strategies for conducting these investigations.</p> <p>Course agenda:</p>	15

		(1) Introduction to money laundering (2) Lawyers' obligations as gatekeepers (a) use of trust account in absence of legal services and considerations when investigating this concern (b) duty to make inquiries and when it is triggered including discussion of suspicious circumstances (3) Strategies for conducting AML/misuse of trust account investigations (4) Lessons learned from conducting hearings	
2020	Anti Money Laundering Global Course	Five modules to recognize money laundering, terrorist funding, steps, responsibility in regard to know your client, what to do if concerns, examples, tests.	2
2020	Anti Money Laundering in B: Reflections for Regulators and Associations	Anti Money Laundering Presentation hosted by the Real Estate Council at the Fairmont Hotel on proposed amendments to the regulations under the federal Proceeds of Crime (Money Laundering) and Terrorist Financing Act (PCMLTFA)	1
2020	Anti-Money Laundering - Changes to Client Identification and Verification Rules Effective January 1, 2020 - November 27, 2019 (recording)	Anti-Money Laundering - Changes to Client Identification and Verification Rules Effective January 1, 2020	21
2020	Anti-Money Laundering - Client Identification and Verification Rules	<p>CLE Rebroadcast from November 27, 2019</p> <p>Effective January 1, 2020, amendments to the client identification and verification rules introduce more stringent requirements to verify a client's identity, provide more options for how to confirm a client's identity, and require lawyers in financial transactions to obtain additional information about a client's source of funds, as well as periodic monitoring and recording professional business relationships with clients. The rules are a key part of the Society's efforts to combat money laundering and terrorist financing. Lawyers who do not comply with the rules may be subject to discipline.</p> <p>Learn about Law Society requirements and new developments.</p>	4
2020	Anti-Money Laundering and Client Due Diligence	Money laundering and terrorist financing could pose significant compliance and reputational risks for corporates. While every member of the firm should stay vigilant about the associated risks, Financial institutions and designated non financial businesses and professions are under a statutory duty to perform client due diligence ("CDD") checks in Hong Kong. CDD is the cornerstone of an effective AML/CTF program. In this one hour session, we will walk through the different CDD requirements for different types of clients. Different examples will be used to highlight a risk-based approach to CDD.	1
2020	Anti-Money Laundering and Client Identification/Verification	This webinar will address the purpose and practice implications of proposed amendments to Division 16 and 17 of the Law Society of Yukon rules for anti-money laundering and client identification and verification.	6

2020	Anti-money Laundering for Fee Earners in International Law Firms	<p>Description</p> <p>This course is for those who work in international law firms. It looks at your obligations under UK anti-money laundering requirements.</p> <p>Objectives</p> <p>By the end of this course you will be able to:</p> <ul style="list-style-type: none"> Understand what AML regulations are trying to achieve Explain the obligations the law puts on you Identify when ML regulations apply Apply the steps to perform Customer Due Diligence on individuals Identify PEPs Apply the steps to perform Customer Due Diligence on entities/beneficial owners including PSC registers, trusts and Know Your Transactions Understand what happens after you make a money laundering report Identify when you should make a money laundering report Distinguish what you can tell a client after a report has been made 	1
2020	Anti-Money Laundering in BC – Updates and Best Practices (BC20SOL11W)	<p>1.00 Hours of Approved Continuing Professional Development in BC.</p> <p>This webinar is accredited for Practice Management.</p> <p>Dr. Peter German QC PhD, Peter German & Associates Inc., Joanne Stark, and Brett Horton will examine the problem of money laundering in BC with an emphasis on what lawyers can do to help prevent it.</p> <p>Topics will include:</p> <ol style="list-style-type: none"> 1. The current status of the Cullen Commission; 2. 2019 Independent Review of Money Laundering in B.C. Real Estate; and 3. Best practices. 	31
2020	Anti-Money Laundering in Real Estate Course	<p>Developed in collaboration with anti-money laundering experts, the course will be made available through the Real Estate Division at UBC. It is a mandatory continuing education course for all licensed real estate professionals in BC. We thank FINTRAC for their support in this project.</p> <p>Module 1 – Introduction and Money Laundering Basics Module 2 – Background on the Anti-Money Laundering Regime Module 3 – Real Estate and Money Laundering Module 4 – Overview of Compliance Obligations Module 5 – Suspicious Transactions Module 6 – Emerging Issues</p> <p>The course includes videos and knowledge check questions within each module. You will have three days from the start date you select in order to complete the course. You must complete all course modules AND obtain a passing grade of at least 70% on the final assessment.</p>	10

		Once you have passed the final assessment, you will receive a course completion letter.	
2020	Anti-Money Laundering Measures	<p>The Law Society of BC is offering a free two-hour program provided by Practice Advisor Barbara Buchanan QC and Audit Team Leader Tina Kaminski to help lawyers comply with the Law Society's anti-money laundering rules. The program includes information on money laundering, cash, client identification and verification, red flags and risk management. The program is eligible for two hours of CPD credit. To view the program, go to [https://youtu.be/d5yO_il58BM].</p> <p>Location: Webinar Instructors: Barbara Buchanan, QC, Practice Advisor Tina Kaminski, Audit Team Leader Registration Fee: Free</p>	126
2020	Anti-Money Laundering Overview	Training and overview of anti-money laundering law in New Zealand, specifically related to the banking and finance practice area, presented by Ling Yan Pang (senior associate at Russell McVeagh) and delivered to national banking and finance practice group.	1
2020	Beware! Whistleblowers, Wolves, and Lambs - Navigating Ethical Landmines in Global Investigations	Course focused on allegations of wrongdoing that come to a company's attention through many avenues, including both publicly and internally. In the extractive industries, issues may arise regarding compliance by the company, its employees, agents, consultants, and business partners with environmental and resource protection laws, as well as anti-corruption, sanctions, and anti-money laundering laws and regulations. This presentation addressed the steps companies should take once they become aware of such allegations, including the pitfalls they may encounter when there is a whistleblower involved, the relevance of the U.S. Model Rules of Professional Conduct to the conduct of the investigation, and the role of executives, the Audit Committee, and the Board in overseeing any internal investigation and interactions with the government, including whether or not to make a voluntary self-disclosure.	1
2020	BNU Ethics	Anti-Money laundering and client identification and verification rules	4
2020	Clark Wilson - CW Practice - Anti-Money Laundering: Client Identification and Verification Rules (CLE-TV Rebroadcast)	<p>This is an in house re-broadcast of an important CLEBC presentation by Barbara K. Buchanan, QC (Practice Advisor, Conduct & Ethics, Law Society of BC) from November 2019 about the amendments to the CI&V rules that took effect on January 1, 2020.</p> <p>The amendments introduce more stringent requirements to verify a client's identity, provide more options for how to confirm a client's identity, and require lawyers in financial transactions to obtain additional information about a client's source of funds, as well as periodic monitoring and recording professional business relationships with clients. The rules are a key part of the Society's efforts to combat money laundering and terrorist financing. Lawyers who do not comply with the rules may be subject to discipline.</p>	20

		<p>This is an in house re-broadcast of an important CLEBC presentation by Barbara K. Buchanan, QC (Practice Advisor, Conduct & Ethics, Law Society of BC) from November 2019 about the amendments to the CI&V rules that took effect on January 1, 2020.</p> <p>The amendments introduce more stringent requirements to verify a client's identity, provide more options for how to confirm a client's identity, and require lawyers in financial transactions to obtain additional information about a client's source of funds, as well as periodic monitoring and recording professional business relationships with clients. The rules are a key part of the Society's efforts to combat money laundering and terrorist financing. Lawyers who do not comply with the rules may be subject to discipline.</p>	
2020	Clark Wilson - CW Practice - Banking, Insolvency & Restructuring Practice Group - Deemed Trusts, Anti-Money Laundering & KYC Due Diligence	Deemed Trusts, Anti-Money Laundering & KYC Due Diligence presented by Kevin MacDonald, Rosemary John and Ryan Klassen	3
2020	CLEBC Anti-Money Laundering for Lawyers and Law Firms - REBROADCAST 161819	<p>Wondering how money laundering impacts your clients? Get up to date on Canada's anti-money laundering ("AML") legislation, which affects tens of thousands of Canadian companies. This course will also cover developments in prosecuting and defending proceeds of crime cases, civil forfeiture, and a lawyer's professional obligations related to AML. You will leave this course with knowledge to protect and advise your clients, at a time when money laundering is nearly a daily news item in BC. Speakers will include the Attorney General of BC along with specialists in the AML field.</p> <p>A minimum of 1 hour pertaining to professional responsibility and ethics, client care and relations, and/or practice management.</p>	6
2020	CLEBC CLE-TV: Anti-Money Laundering - Client Identification and Verification Rules REBROADCAST -168319	<p>Effective January 1, 2020, amendments to the client identification and verification rules introduce more stringent requirements to verify a client's identity, provide more options for how to confirm a client's identity, and require lawyers in financial transactions to obtain additional information about a client's source of funds, as well as periodic monitoring and recording professional business relationships with clients. The rules are a key part of the Society's efforts to combat money laundering and terrorist financing. Lawyers who do not comply with the rules may be subject to discipline.</p> <p>Learn about Law Society requirements and new developments.</p> <p>This course will involve a minimum of 1 hour pertaining to professional responsibility and ethics, client care and relations, and/or practice management.</p>	259
2020	CLEBC CLE-TV: Anti-Money Laundering - Client	Law Society Rules 3-98 to 3-109 require lawyers to follow client identification and verification procedures	51

	Identification and Verification Rules REBROADCAST -168319	<p>when retained by a client to provide legal services. The rules are a key part of the Society's efforts to combat money laundering and terrorist financing. Lawyers who do not comply with the rules may be subject to discipline.</p> <p>Learn about Law Society requirements and new developments.</p> <p>This course will involve a minimum of 1 hour pertaining to professional responsibility and ethics, client care and relations, and/or practice management.</p>	
2020	Conflicts, Anti-Money Laundering and Anti-Bribery Training	<p>Firm-wide risk training from in-house counsel and risk team on conflicts, anti-money laundering and anti-bribery and our professional ethics</p>	1
2020	COVID-19 Financial Crime Risks: Are You Prepared for the New Era?	<p>Part 1 of the 'Risk Revealed Webinar Series' and gain insights into the measures financial institutions need to take to address COVID-19 financial crime risks:</p> <ul style="list-style-type: none"> • New and emerging risk issues for financial crime linked to the COVID-19 pandemic • Technology's role in increasing efficiency & virtual collaboration in AML and transaction monitoring protocols • The importance of cross-border and domestic information sharing and public/private sector cooperation to combat illicit financial flows • How regulators are responding to new threats and COVID-19 related fraud <p>Speakers</p> <p>Kevin Bogdanov, Performance Director, Americas - Refinitiv</p> <p>Matthew Ekberg, Senior Policy Advisor for Regulatory Affairs - IIF</p> <p>Andrew Simpson, Chief Operating Officer - CaseWare RCM</p> <p>Meet our speakers</p> <p>Kevin Bogdanov</p> <p>Performance Director, Americas - Refinitiv</p> <p>Kevin Bogdanov is responsible for Refinitiv's regional Americas 'Financial Crime and Third Party Risk Management' revenue performance. He oversees a center of excellence around how Refinitiv sells, markets, partners and engages with industry participants. By keeping a pulse on key regulatory, policy, industry, customer and technology trends, he introduces the voice of the customer into Refinitiv's product and business strategy to ensure Refinitiv is correctly positioned to support its clients. This includes Refinitiv's flagship World-Check set of products.</p> <p>He also regularly represents Refinitiv in Industry forums including ACAMS, Compliance Week, OCEG, as well as Refinitiv's Industry and Regulatory Summits. He has spent 12 years leading international teams and programs in the Enterprise Information Services, Technology, Finance, Risk and Compliance sectors. He is actively tracking how data, technology, automation and AI are disrupting and redefining the</p>	1

		<p>practice of KYC and third party risk compliance.</p> <p>Matthew Ekberg</p> <p>Senior Policy Advisor for Regulatory Affairs - IIF</p> <p>Matthew L. Ekberg serves as Senior Policy Advisor for Regulatory Affairs at the Institute of International Finance (IIF). Mr. Ekberg is responsible for leading regulatory engagement on matters concerning standards of the Basel Committee on Banking Supervision (BCBS), the Financial Stability Board (FSB) and the Financial Action Task Force (FATF) in the policy areas of banking capital, liquidity, conduct/culture and financial crime. He led the IIF's London Office from 2017 to 2020.</p> <p>Mr. Ekberg previously served as Vice President for International Policy at the Bankers Association for Finance and Trade (BAFT), the international affiliate of the American Bankers Association, where he led the government advocacy initiatives of the organization globally. He has also worked on trade, investment and corporate finance matters for an international law and consulting firm in London and served in the Majority Leader's Office in the US House of Representatives and with the Office of the US Trade Representative (USTR) in Washington, DC.</p> <p>Mr. Ekberg holds degrees from The George Washington University and The George Washington University Law School. He is an Advisory Board member for the Future of Financial Intelligence Sharing (FFIS) Project, organized through the Royal United Services Institute (RUSI) Centre for Financial Crime and Security Studies and is Deputy to the B20 Finance and Infrastructure Taskforce.</p>	
2020	Division 7 Rule Changes	<p>Andrew Simpson</p> <p>Chief Operating Officer - CaseWare RCM</p> <p>Andrew Simpson is Chief Operating Officer at CaseWare RCM with more than 20 years experience building businesses in the fields of information systems audit and security, data analytics, anti-money laundering and forensics.</p> <p>He is a regular thought-leader and contributor to conferences. Andrew was the Founder and CEO of SymSure Ltd. and is the Founder and Chairman of Symptai Consulting, an IT security and consulting firm.</p>	8
2020	Ethics - Know Your Client	<p>Course Details</p> <p>Ethics – Know Your Client (ENGLISH LANGUAGE)</p> <p>5CREDITS</p> <p>BOOK NOW</p> <p>Course</p>	1

		<p>Mandatory Points 2</p> <p>As a part of the Ethics curriculum, this Know Your Client online course has been designed to provide UAE lawyers with an introduction to anti-money laundering and terrorist financing for the purposes of helping you to create a robust client due diligence process.</p> <p>The client due diligence (CDD) section will be broken down into various key parts, covering the different types of CDD and the application across various legal services.</p> <p>This course will also cover the legal framework applicable in the UAE, highlighting the key regional laws and regulatory guidelines from the Dubai Financial Services Authority.</p> <p>This course intends to provide you with:</p> <ul style="list-style-type: none"> an understanding of what is considered effective know your client procedures and controls what role you as lawyers and law firms must play to ensure that your legal services are not used to further a criminal purpose what the regional legal framework expect during your client onboarding process an understanding of how money laundering and terrorist financing are serious threats to our society to assist you, as licensed lawyers in the UAE, to meet your obligations under the anti-money laundering and counter-terrorist financing regime <p>Upon completion of this course, you will understand the importance of adequate client due diligence processes and how these may be applied.</p> <p>NOTE: Once you have booked a course, you can access the preparatory e-learning or e-learning mandatory course in the learning management system by clicking here.</p>	
2020	FINTRAC and the FCAC - New regulatory requirements and responses to COVID	COVID-19 pandemic or not, recent changes have been made to the FCAC Act as well as to the Proceeds of Crime (Money Laundering) and Terrorist Financing Act (PCMLTFA). In the case of the FCAC, these changes have expanded regulatory powers. For FINTRAC regulated entities, there are new reporting timelines and compliance obligations including the publication on new guidance in respect of suspicious transaction reporting. In addition to these changes, both FINTRAC and the FCAC have been vocal on expectations in light of the COVID-19 pandemic.	2
2020	HR 2513 has passed the US House of Representatives, and S.2563 the ILLICIT CASH Act	The Section's International Anti-Money Laundering Committee is inviting you to their Committee Call next Wednesday April 8th (11-1145 am ET). Two guest speakers will brief us on legislation moving through the US Congress that would require disclosure of beneficial ownership. HR 2513 has passed the US House of Representatives, and S 2563 the ILLICIT CASH Act is picking up sponsors in the US Senate.	1

		<p>If passed, the new legislation will significantly revise US legal requirements, mandating that entities disclose their ultimate beneficial owners to a central federal database. The presentation will address the following issues:</p> <p>>> Likelihood of the legislation passing in this Congress -- including whether COVID-19 changes the picture -- and what the legislation would mean for practitioners and their clients.</p> <p>>> Discussions within the ABA on Resolution 119 and the ABA's historical opposition to such beneficial ownership legislation.</p> <p>Speakers: Gary Kalman, US Director for Transparency International Clark Gascoigne, Interim Director, FACT Coalition Moderator: John Regis Coogan, John Regis Coogan Law Office, PLLC</p>	
2020	In-House Session (Client ID Verification, Anti-Money Laundering)	<p>In-house session regarding the new Law Society of BC Client ID verification rules effective January 1, 2020, and Anti-Money Laundering rules and advisories. Presented by associate lawyers Power Chen and Mandy Javahery, and group discussion among attendees.</p>	4
2020	Industry Regulation & Taxation Committee (IRT)	<p>1. Ottawa Update: General Update 2. Securities Regulation: a) Open Discussion: Member questions and concerns arising out of COVID-19 and/or resulting market turbulence o Market structure o Liquidity issues (eg. money market fund/bonds/US circuit breaker) o Client matters including onboarding and opening accounts by attorneys under a POA o Corporate cheque deposits o Deadlines and filings, etc. o Other b) Recap of Client Focused Reforms CSA & PMAC Implementation Committee Working Group meetings c) OSC Consultation – Proposed Ontario Securities Commission Rule 81-502 – Restrictions on the Use of the Deferred Sales Charge Option for Mutual Funds d) CSA Consultation - Proposed amendments to NI 31-103 – trusted contact persons and placing temporary holds 3. Tax: a) Ontario provincial fiscal and economic update highlights & update federal budget timing b) Update on timing - CRA: FATCA & CRS Draft Guidance 4. International & Other Regulatory Issues a) FYI: Anti-Money Laundering and Anti-Terrorist Financing & Federal Beneficial Ownership Consultations b) SEC – Coronavirus response</p>	1
2020	Industry, Regulation & Tax - PT 1	<p>Securities Regulation ? Open Discussion: Member questions and concerns arising out of COVID-19 and/or resulting market</p>	1

		<p>turbulence</p> <p>? Recap of Client Focused Reforms CSA & PMAC Implementation Committee Working Group meetings</p> <p>? OSC Consultation – Proposed Ontario Securities Commission Rule 81-502 – Restrictions on the Use of the Deferred Sales Charge Option for Mutual Funds</p> <p>? CSA Consultation - Proposed amendments to NI 31-103 – trusted contact persons and placing temporary holds</p> <p>Tax</p> <p>? Ontario provincial fiscal and economic update highlights & update federal budget timing</p> <p>? Update on timing - CRA: FATCA & CRS Draft Guidance</p> <p>International & Other Regulatory Issues</p> <p>? FYI: Anti-Money Laundering and Anti-Terrorist Financing & Federal Beneficial Ownership Consultations</p> <p>? SEC – Coronavirus response</p>	
2020	International Assistance Group Learning Day 2020: Shifting Paradigms: Addressing Changes in Workplace Inclusion, Public Safety and Law Enforcement	<p>** a minimum of 1.0 hour will involve aspects of professional responsibility and ethics, and/or practice management **</p> <p>The 2020 edition of the International Assistance Group's Learning Day focuses on evolving conceptions of diversity, inclusion, mental health and cybercrime in the contemporary landscapes of law enforcement, prosecution, and international cooperation.</p> <p>The Keynote Address will be delivered by Superintendent Isobel Granger of the Ottawa Police Service's newly formed Respect, Values and Inclusion Directorate. Supt. Granger is one of the first black female police officers in Ottawa and she has over 30 years of law enforcement experience in Zimbabwe and Canada. She is also an investigator on the Justice Rapid Response roster for the United Nations Women's Initiative, one of only a handful of experts qualified to investigate war crimes involving sexual and gender-based violence.</p> <p>A panel of speakers will address contemporary issues in financial crime, with a focus on cryptocurrencies and other recent developments in the cyber sphere. Superintendent Peter Payne has 32 years of service with the Royal Canadian Mounted Police, where he is currently the Director of Financial Crime. Stéphane Sirard is the Manager of the Anti-Money Laundering Unit, Financial Transactions and Reports Analysis Centre of Canada. Croft Michaelson, previously an expert senior prosecutor with the Public Prosecution Service of Canada, is Vice President, Chief Legal Officer and Head of Global Investigations at BMO Financial Group</p> <p>A second panel of speakers will address contemporary and sometimes contested conceptions of mental health, addictions, diversity and inclusion for Indigenous, racialized and minority professionals. Myrna McCallum is a Métis-Cree lawyer working in the areas of criminal law, human rights, and workplace investigations. Ms. McCallum speaks widely about trauma-informed practice and she hosts The Trauma-</p>	1

		<p>Informed Lawyer podcast in partnership with the Canadian Bar Association. Dr. Araba Chintoh is a psychiatrist based at the Center for Addiction and Mental Health. Her practice areas include psychopharmacology, metabolic dysfunction and chronic brain illnesses. Anita Szigeti is an experienced private lawyer based in Toronto, working in the areas of mental health and criminal law. She has appeared often before the Supreme Court of Canada and has participated in dozens of inquiries into deaths involving police use of force and/or mental health. Other speakers include Virginia McRae, former Assistance Deputy Minister at Justice Canada. Ms. McRae is currently a Sessional Professor at the University of Ottawa Faculty of Law where she continues her decades-long engagement with teaching legal writing. Counsel from the International Assistance Group will also provide an update on the latest jurisprudence concerning criminal law, international cooperation, extraditions and mutual legal assistance.</p> <p>** a minimum of 1.0 hour will involve aspects of professional responsibility and ethics, and/or practice management **</p>	
2020	Legal Ethics KYC AML	DLAD Government course for 2 hours CLPD ethics and KYC as well as updated Anti-Money Laundering and Terrorist Financing training	1
2020	Legal Insights: AML in Financial Crime	<p>Webinar organized HSBC global Legal and presented by lawyers from panel firm Freshfields based in London. Looked at the risks posed to banks in light of recent global money laundering schemes and considers particular challenges faced in and lessons learned from AML investigations.</p> <p>Topic: LEGAL INSIGHTS: AML in Financial Crime Date: Tuesday, 4 February 2020 Time: 16:00, GMT Time (London, GMT)</p>	2
2020	LSBC Rules Regarding Anti-Money Laundering	A colleague provided a presentation regarding the Law Society's new anti-money laundering rules to ensure all in attendance were informed and aware of same.	1
2020	National CLE Program - Protecting Against Money Laundering (November 24, 2017) (Video Version)	Law firms are often the target of money laundering, terrorist financing or other financial fraud-related schemes, and BLG is no exception. All BLG professionals must be constantly vigilant and follow all applicable procedures and policies. This program reviews current rules of professional conduct, legislation and firm policies that protect against money laundering, terrorist financing and sanctions violations and will also explain some of the more common money laundering schemes that can be encountered.	1
2020	Real Property Practice Group Meeting - March 2, 2020	<p>Real Property Practice Group Meeting - March 2, 2020</p> <ol style="list-style-type: none"> Land Owner Transparency Act – obligation re: notice to clients who may be unaware; safety/privacy LSBC rule amendments re client identification and verification and source of funds Anti-money laundering policies <p>All of which pertains to professional responsibility and ethics, client care and relations and/or practice management.</p>	6

2020	Retainer Letters: Pitfalls /Things to look out for	<p>Content:</p> <ol style="list-style-type: none"> 1. Understand your role – your role is to give legal advice/ be objective (Matthews v. Stikeman Elliott, 2020 BCSC 581) 2. Identify the scope of the mandate. 3. Identify the team members and what positions they play. Look out for hangers-on. 4. Client Identification & Verification – how to avoid becoming involved in a money laundering scheme. 5. COVID 19 and verifying a client remotely. 6. The solicitor –client relationship. It is contractual as well as fiduciary. 7. What is important in every retainer agreement? <ol style="list-style-type: none"> a. Scope b. Fees c. Disbursements d. How often will you bill? e. When client must make payment f. Interest on unpaid accounts g. Initial and ongoing retainers and when you can apply retainer funds h. When the lawyer may withdraw i. Joint retainers- including what happens if a conflict of interest emerges 8. The “entire contract” doctrine. 9. Walk the client through the retainer agreement. 10. Establishing a billing and payment cycle. 11. What does it look like when it goes badly? <ol style="list-style-type: none"> a. Fee Reviews under the Legal Profession Act b. The factors a Registrar/Master will look at <p>Presented by Rebecca Morse/Mike Wagner Includes 1 hour of Practice Management</p>	6
2020	RISK REVEALED WEBINAR #2 - Future State of Digital Banking: Implications for Financial Crime Threat Post COVID-19	<p>Future State of Digital Banking: Implications for Financial Crime Threat Post COVID-19</p> <p>June 25, 2:00 PM EST</p> <p>The rapid outbreak of COVID-19 presents an alarming health crisis the world is grappling with. In addition to the human impact, there is significant commercial and banking impact being felt globally, and the uncertainty may lead to further abuse of financial systems.</p> <p>However, it may also present business opportunities and an acceleration in banks' digital transformation programs to help reduce financial risk post-pandemic.</p> <p>Attend this webinar to gain insights into challenges, strategies and recommendations for digital banking post COVID-19 crisis.</p> <p>Risk Revealed Webinar Series</p> <p>Our new, 6-part Risk Revealed webinar series brings together risk and compliance experts from across financial markets and corporates. Join us to learn how data and technology solutions can help you identify and mitigate risk exposure across your business—and how innovation can help turn the tide against financial</p>	1

crime.

In this session, our expert panel will discuss:

- Regulatory implications
- Market drivers: changing consumer behavior and fastest growing type of financial crime (i.e. cyber-crime, synthetic identity fraud, dark web)
- Market challenges: how COVID-19 is changing the organized crime threat (rise in fraud, paper contamination, etc.)
- Banks' opportunity to realize value, review banks systems & controls while accelerating digital transformation (i.e. move away from manual KYC to digital) post pandemic crises
- What strategies can banks adopt to mitigate AML/fraud risk?

- Meet our speakers
- Holly Sais Phillippi
- Market Development Director, Refinitiv

- Holly has over 19 years of experience in data/regulatory compliance and risk management. She is focused on building strong Customer and Third Party Risk communities within the corporate environment, regulatory and financial communities to ensure Refinitiv is putting the clients' needs first in product build and design.

- She is also responsible for strategic project planning, building an education strategy around Customer and Third Party Risk and assisting clients with large-scale Rollout & Adoption projects around Customer and Third Party Risk solutions. She has personally managed several top banks around the globe and engaged directly with their Anti-Money Laundering (AML) compliance teams and the heads of AML compliance.

- Holly's focus has always been to ensure clients have the data and systems necessary to meet their regulatory guidelines as well as corporate responsibility expectations.

- Ben Arber
- Head of Financial Crime Compliance, Commercial Banking, HSBC

- Ben has been with HSBC for 23 years, working in seven countries covering roles in commercial banking, trade finance, cash management, technology and credit risk as well as compliance. Ben joined HSBC in 1997 and moved to the UAE to run corporate banking and trade finance for HSBC Ras Al Khaimah.

- For much of the next ten years Ben worked in cash management and trade finance in Asia, including as Head of the Global Liquidity and Cash Management in Korea from 2005-2008, before moving to Canada as Head of Global Trade and Receivables Finance in 2011. After concluding an extensive business de-

risking, in parallel with a re-structure and pivot to growth with a doubling of the revenue stream, customers voted HSBC Canada the best bank for trade finance in the 2015 Euromoney survey.

- Ben has been in the US for six years, where he was initially responsible for trade finance governance, operations, financial crime controls and client service across North America, before moving into his current role at the end of 2017. Ben lives in Connecticut and works out of the HSBC New York office, when possible.
- James Mirfin
• Global Head of Digital Identity and Financial Crime Propositions, Refinitiv
- James leads the global portfolio of financial crime propositions for Refinitiv, including World-Check and Digital Identity.
- He is leading the strategic conversations with financial institutions, regulators and industry partners around the world as they battle to identify “who’s there” when they onboard and transact with their customers.
- James started his career in the UK and spent 16 years in Asia in senior leadership roles with American Express, PayPal and Thomson Reuters, living and working in Singapore, Thailand, India and Hong Kong, before relocating to New York early in 2018.
- Jeremy Kuester
• Counsel, White & Case
- Jeremy Kuester is a counsel in the Washington, DC office of White & Case LLP, as a member of the Global Financial Institutions Advisory practice. He has extensive experience with Bank Secrecy Act (BSA) regulations, legislation, compliance, and policy. His practice includes matters involving the laws and regulations involving anti-money laundering (AML) and financial intelligence, including AML information-sharing and de-risking.
- Before joining White & Case, Jeremy was the Deputy Associate Director for the Policy Division at the Financial Crimes Enforcement Network (FinCEN), a bureau of the Treasury Department that serves as the administrator and lead regulator of the Bank Secrecy Act (BSA). During his tenure there, he oversaw the publication of numerous anti-money laundering advisories to the financial sector, the promulgation of guidance on such areas as the May 2016 Customer Due Diligence Rule, and grants of exceptive relief from BSA regulations. He oversaw projects regarding de-risking of respondent banks in high-risk jurisdictions and the use of Section 314b for sharing of cyber indicators related to possible money laundering. He also drove efforts to be more responsive to how

		technological advancements impact the conduct of BSA/AML compliance.	
2020	Trust Accounting Course #2 (Basics of Anti-Money Laundering)	<p>The previous 7-hour in-person Trust Accounting course is now offered online through three webinar sessions. The second of the three webinars will focus on combatting money laundering and other illegal activity. Lawyer's trust accounts are protected by solicitor-client privilege and lawyers must not use that privilege to facilitate suspicious transactions. This course is beneficial for new or established lawyers, and staff members who are looking to gain an understanding of the role lawyers play in money laundering.</p> <p>This course covers topics such as:</p> <ul style="list-style-type: none"> • the three phases of money laundering, • how criminals can use a lawyer's trust account to launder money, • red flags for money laundering, • Law Society's anti-money laundering initiatives, • how to handle cash transactions, and • an overview of the client identification and verification rules. <p>The Law Society of BC is collecting your personal information pursuant to section 26(c) of the Freedom of Information and Protection of Privacy Act for the purpose of administering the Trust Accounting course. If you have any questions about the collection, use or disclosure of your personal information, please contact the Senior Coordinator, Trust Assurance</p> <p>[...]</p> <p>Instructors:</p> <p>Tina Kaminski, Audit Team Leader David Cho, Trust Auditor Registration Fee: Free</p>	52