



and



presents a free webinar on

**How to Safeguard your
Business against the Danger of
Money Laundering/
Terrorism Financing/
Proliferation Financing:**

**A Governance and Risk-Based Compliance
Management Systems Approach**

Special presentation by the



**Saint Lucia Financial
Intelligence Authority**

Introduction

Professionals such as lawyers, notaries, accountants, investment advisors, trust and company service providers, as well as other non-financial businesses such as car-dealers and jewelers, are sometimes unknowingly used as a means to facilitate money laundering (ML), terrorism financing (TF) and/or proliferation financing (PF). It is for this reason that professional and business operators in these sectors are considered the 'gatekeepers', as they are deemed to play an essential role in identifying, preventing and reporting suspicions of such criminal activities.

In order to successfully protect your business from this risk, and to capitalize on opportunities to be gained from good governance and a systems approach to management, it is imperative that you understand not only your local regulatory requirements associated with AML/CTF/CPF, but also, how to equip your board and staff with the necessary tools and techniques to implement an effective risk-based governance and compliance management system.

This free awareness webinar is targeted at directors, professionals, and relevant employees at all levels, to:

- i. Assist them in adopting sound governance and risk-based management practices
- ii. Assist them in becoming aware of their roles and responsibilities in detecting and preventing ML/TF/PF
- iii. Help them to gain the required knowledge and skills related to AML/CTF/CPF from an educational, regulatory and ethical perspective, and
- iv. To comply with mandatory training guidelines laid down by regulators.

Topics to be covered

- 1 Context: ***The problem of ML/TF/PF for your business and the economy***
- 2 AML/CTF/CPF legislation and why are gatekeepers so important
- 3 The role of effective governance in ensuring compliance and maximizing opportunities for profitable gain
- 4 Implementing an effective flexible compliance management system tailored for small and medium-sized business operators
- 5 Operating an effective Compliance Programme
 - i. The performance of customer due diligence
 - ii. DD Risk analysis: CDD Risk indicators
 - iii. Client Acceptance Policy
 - iv. CDD risk matrix
 - v. Control measures
 - vi. Transaction monitoring
 - vii. Reporting
 - viii. Audit
 - ix. Assessing and Controlling Risk

Alison is passionate about organizational development through engaged people and flexible structures and systems. She is a firm believer that while sustainable business success necessitates an adequate supportive external facilitatory business environment, it can only be realized through an internal risk-based systems approach to management.

Over two decades of experience:

- Serving on public and private Boards, and working with leaders to institute improvement initiatives within organizations in the areas of governance, management systems, standardization, quality and assurance systems, business development, manufacturing, professional and health services.
- Working with international and regional organizations to help governments address critical Quality Infrastructural issues (accreditation, conformity assessment, standardization, metrology and market surveillance) and technical regulatory frameworks.
- National Representative - ISO TC 309: Governance of Organizations (scope of work includes compliance management)
- National Representative - ISO TC 262: Risk Management
- Member Representative - ISO TC 176: Quality Management and Quality Assurance
- Chair - National Sub-Committee which mirrors ISO TC 309 (international technical committee for developing standards on governance and compliance management systems)

Affiliated with globally recognized networks of consultants, using proven tools and techniques to assist organizations tackle performance issues by:

- 1 Building effective cohesive teams (core leadership/senior/middle management/quality improvement)
- 2 Putting the right people into the right positions
- 3 Implementing flexible governance & compliance management systems
- 4 Creating organizational clarity and strategic alignment
- 5 Creating effective internal communication mechanisms
- 6 Creating just enough structure and systems to reinforce clarity and support innovation

Academic background in Chemistry, Law, Quality Management and Productivity and Project Management.



ALISON S. GAJADHAR, PH.D. GDI
Managing Director/
Management Systems
Consultant



Dr. Axel Kravatzky is Managing Partner of Syntegra-ESG, advising and guiding leaders on how to develop, activate and amplify the power of their brand and people to positively impact society and the natural environment profitably.

As the practice lead for Purposeful Governance and Strategy he has been working with Boards of Directors, Board Committees and Executives for over 20 years. His specialties are the financial, state-owned enterprise, utilities, and non-for-profit sectors.

Axel was the founding Chairman of the Caribbean Corporate Governance Institute (CCGI), initiated the development of the T&T Corporate Governance Code (2013), and lead the development of the first and only accredited Corporate Governance training programme in the Caribbean region.

Axel is the Vice Chair of ISO/TC309 Governance of Organizations. He also serves as the co-convenor and technical editor for ISO/TC309/WG1 which is developing the foundational standard in the field: "ISO 37000 Governance of Organizations – Guidance". The committee consists currently of 76 countries and 23 liaison organizations the standard is due to be published in September 2021. The Final Draft International Standard (ISO/FDIS 37000) will be published for national review in 163 ISO member countries in June 2021.

Axel has led leadership and team development interventions across the Caribbean and in Europe for more than 20 years. He is highly skilled and experienced across a wide variety of experiential learning and development methodologies. He is a member of the European Corporate Governance Institute (ECGI).



AXEL KRAVATZKY, Ph.D
 Director & Principal
 Consultant, Syntegra
 Change Architects

After having finished his studies at the Police school (1992) he held several executive positions at the Police Force in The Hague, amongst others the position of Financial Detective. During that period he continued studying several advanced courses within the Police organization. Due to his managerial training in business studies, he was since 1996 involved in various automation projects which have led to him being appointed ICT Manager.

After having finished his studies in Business Administration at the IBO Institute in Zeist he emigrated to Curaçao in 2001, where he first held a position at the Central Bank of the Netherlands Antilles and later as a Financial Analyst for The Unusual Transactions Reporting Centre, where he was the acting director in 2004 and 2005 at The Unusual transactions Reporting Centre.

Benno has, among other things, followed several courses in the field of the fight against money laundering and financial terrorism, locally as well as abroad. He has been involved in organizing a number of training seminars and has given lectures for financial institutions and compliance officers in the Netherlands Antilles and the Caribbean Financial Action Task Force (CFATF). As a certified anti-money laundering specialist, he participated in several task groups which purpose was to effectively increase the fight against money laundering in The Netherlands Antilles.

Benno has been with Forensic Services Caribbean NV since 2005. His tasks include forensic investigations and consultancy work. Due to his background he is specialized in the areas of compliance, fraud investigations and Forensic IT. He is a Certified Fraud Examiner (CFE) and a Certified Anti money Laundering Specialist (CAMS) and a member of both organizations (ACFE and ACAMS). The last couple of years he is very active in providing compliance services to many (financial) institutions in the Caribbean region.



Dhr. B. (Benno) van Leeuwen
CFE CAMS - AML/CFT
 Fraud Expert and
 Senior Consultant

Ayanna Caesar is the Supervisor of the Anti-Money Laundering (AML), Counter Terrorism Financing (CFT) and Counter Proliferation Financing (CPF) Supervision Unit of the Financial Intelligence Authority (the FIA).

She has over seven years' experience in the field of supervision and regulation having worked as a Financial Regulator with the Financial Services Regulatory Authority of Saint Lucia and now as an AML/CFT/CPF Regulator with the FIA.

She holds a Bachelor's of Science in Economics, Accounting and Finance from the University of the West Indies, a Chartered Accountant qualification through the Association of Certified Chartered Accountants (ACCA) and a Certified Anti-Money Laundering Specialist qualification through the Association of Certified Anti-Money Laundering Specialist (ACAMS).

Part of her role at the FIA entails providing training and guidance to financial institutions and designated non-bank financial institutions in the areas of money laundering, terrorist financing and proliferation financing and the applicable laws of Saint Lucia and international best practices.



Ayanna Caesar
BSc, ACCA, CAMS
Supervisor, Financial
Intelligence Authority (FIA)