



S&P Unternehmerforum is a certified provider of further education according to AZAV, Ö-Cert and DIN EN ISO 9001 : 2008.  
We meet the quality requirements of the ESF.

# Anti money laundering and fraud – advanced seminar

Detection and evaluation of money laundering arrangements and fraud in practice



- > Our practical seminar will provide you with a complete overview of the latest legal reforms.
- > You will learn how to detect, assess and prevent money laundering and fraud in practice.
- > Our experts have gathered typical patterns of money laundering and fraud. To prevent liability cases, you will receive our specific checklists and guidelines with accurate test criteria.

## Target group:

Managing directors, board members from banks, financial service providers, insurance companies, leasing- and factoring companies, AML officers, deputy AML officers, designated representatives, professional and managerial staff in the field of compliance, central office, internal audit and members of the legal department

## Your benefits:

Implementation of new minimum requirements into practice – quickly, effectively and economically

You will learn how to properly evaluate and examine money laundering arrangements in practice

Know Your Customer in demanding customers relationships and networks

How can I optimally protect my company ?

## Your advantage:

Each participant receives:

- + complete documentary for the direct implementation of the anti-money laundering and fraud system (No. of pages: approx.. 80)
- + practical guidelines and checklists in order to examine complex money laundering systems
- + 150-point check against money laundering and terrorist financing
- + certificate of participation as verification of the advanced training and certification proof for submission to the BaFin for examination

## Dates:

04.10.2016

**Berlin**

13.10.2016

**Frankfurt**

16.11.2016

**Munich**

22.02.2017

**Frankfurt**



## Price:

**690,- €**

Plus 19% VAT

The price includes:  
Participation documents in PDF,  
3-course menu, coffee, tea, soft drinks and snacks in the breaks

Practical update  
for AML Officers

## Program

09:15 am      **Welcome**  
Coffee and tea

09:30 am – 11:00 am      **Implementation of the new minimum requirements in practice**  
– quickly, effectively and economically



### News in the daily business

- > 4th EU Money Laundering Directive - Stricter regulations and standardisation
- > Interpretation and application notes of the German Banking Industry Committee for prevention money laundering, terrorist financing and "other offenses" (AuADK)
- > Audit-standard implementation of the § 25h KWG (German Banking Act) requirements
- > Latest requirements for banks, financial and payment service providers as well as insurance companies
- > Latest requirements for medium-sized enterprises, lawyers and real estate agents

*+S&P Checklists for the revision-save developement of an anti-money laundering and fraud system*

11:00 am – 11:30 am      **Discussion and exchange of experience**

11:30 am – 13:00 pm      **150-point check against money laundering and terrorist financing**



### Identification of risk indicators


- > Evaluation and examination of money laundering, terrorist financing and economic crime in practice
- > Overview of possible structures and interconnections
- > Risk-oriented evaluation of customer-, country- and product risks
- > In which cases are simplified customer due diligence obligations sufficient ?
- > Which requirements of the banking supervision are mandatory?

*+S&P case study on money laundering, terrorist financing and economic crime*

13:00 pm – 14:00 pm **Joint lunch**

## Program

14:00 pm – 15:30 pm **Know Your Customer in demanding customer relationships and networks**




### determination of the economic beneficiary

- > Target-oriented determination of the economic beneficiary
    - > Breakdown of difficult company organisation charts and complex financing at home and abroad
    - > Special configuration for private investors
      - Evaluation of the source of funds
    - > Analysis and evaluation of so-called „innovative products“
    - > Risk-oriented monitoring – Application of enhanced customer due diligence obligations
- + *S&P Checklists for the target-oriented determination of the economic beneficiary*

15:30 pm – 16:00 pm **Discussion and exchange of experience**

16:00 pm – 17:30 pm **How can I protect my company best ?**



### Minimizing internal and external threats

- > Which offences appear again and again? How are they committed?
  - > Audit-indicators for timely recognition or prevention of possible criminal offences
    - > Reliability of employees: from the recruitment to the assessment
    - > Which audit procedures should take place before commencing a business relation?
  - > Sanction and embargo measures – an overview
  - > What should export-oriented and globally active companies take into consideration? What impact do violations have?
- + *S&P practical guideline „Compliance-Check“ for the evaluation of new business partners*

From 17:30 pm **Summary of the results and open discussion**

## Experts & departments



### Risk management and Compliance department

Mr **Achim Schulz** counsels medium-sized companies and banks for 22 years. His main areas of expertise are in the fields of plant construction, automotive, banks, health care, trade and non-profit organisations. He advises companies on the implementation of risk management and compliance systems.

### Risk management department and Basel III

Mr **Alexander Schneider** is active for banks, financial service providers and investment companies for over 20 years. As compliance- and anti-money laundering officer working in a major bank he was responsible for monitoring the compliance of the group standards.

Mr **Andreas Leitner** works as consultant and advisor for Schulz & Partner for banks, saving banks and leasing and factoring companies.

As a specialist for risk management he builds up several planning and control systems with focus on treasury.

Lawyer **Alexander Suck** is an expert in the core areas corporate and criminal law. He advises companies on compliance-compatible contract design.

The S&P team currently supervises the following **Project focuses**:

- > Implementation of risk management-, compliance- and anti-money laundering systems
- > Takeover of internal audit in the context of outsourcing
- > Execution of risk management-workshops and risk analysis
- > Utilization of the S&P tools for the Basel III-compliant treasury-management
- > Minimum Requirements for Risk Management (MaRisk)- and compliance-checks
- > Development of ICS- and anti-fraud systems

### Customer testimonials about S&P Unternehmerforum

- > Experts with high practical relevance
- > Current expert knowledge presented in a compact and exciting way
- > Valuable advice for the implementation in practice from experts
- > Case studies, checklists and tools for a save and rapid implementation

## Range of services of Schulz & Partner

- > Optimization programs to increase the liquidity
- > Rating consulting
- > Program to increase sales for SMEs and banks
- > Participation and financing consulting
- > Operative accompaniment of implementation and interim management
- > Creation of business and company evaluations
- > Succession solutions
- > Restructuring and redevelopment report

## Your advantage in practice



We will gladly provide you with detailed information about further seminars and inhouse trainings. If you have any questions, you can of course contact us on our website [www.sp-unternehmerforum.de](http://www.sp-unternehmerforum.de)

## Participants also booked the following seminars:

- > **Money laundering & fraud – basic seminar**  
Specifications according to PrüfbV (Audit Report Regulation) – 4th EU Money Laundering Directive
- > **Newly qualified AML officer – What next?**  
Suspicious – prevention of money laundering – risk assessment
- > **Risk analysis – how to recognize structures of fraud - suspicions**  
Compact seminar for AML officers – Risk analysis, monitoring and suspicions
- > **The new MaRisk (Minimum Requirements for Risk Management) - CRD IV - CRR**  
Compliance- and risk controlling functions– Whistle blowing system according to §25a KWG (German Banking Act) new – capital planning process – settlement system liquidity
- > **Risk management**  
Risk management manual – limit system – ICS (internal control system) – status report

Reply fax  
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## Anti money laundering and fraud – advanced seminar

Price of the seminar: 690,- € plus 19 % VTA

Valid are our General Terms and Conditions, which are available on [www.sp-unternehmerforum.de](http://www.sp-unternehmerforum.de)




Sponsorship is possible! Participants of almost all federal states can be promoted by the European Social Fund. The eligibility conditions are available on our sponsorship-map on [www.sp-unternehmerforum.de/seminarfoerderung/](http://www.sp-unternehmerforum.de/seminarfoerderung/)

Yes, I want to participate in following seminar (please select)

- |                                     |           |  |
|-------------------------------------|-----------|--|
| <input type="checkbox"/> 04.10.2016 | Berlin    | <input type="checkbox"/> No, I won't be able to participate.<br>Please inform me about further scheduled dates.  |
| <input type="checkbox"/> 13.10.2016 | Frankfurt |  |
| <input type="checkbox"/> 16.11.2016 | Munich    | <input type="checkbox"/> No, I won't be able to participate.<br>Please send me the presentation documents in PDF<br>for a nominal charge of 290,00 € plus VTA.<br><i>(Documents will be dispatched after the payment has<br/>been received and the first date of the seminar has taken<br/>place).</i> |
| <input type="checkbox"/> 22.02.2017 | Frankfurt |  |

How did you find out about us? Thank you for your answer.

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| <input type="checkbox"/> I have applied for an ESF-sponsorship<br>(Please enclose a copy of the application) |  | If a second participant registers, we grant a price<br>deduction of 10% per participant. |   |

name und position in the company

name and position in the company

company

number of employees

street, postcode / city

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fax

email

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The registration will become legally binding upon my signature!

Service   
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