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We meet the quality requirements of the ESF.

**S & P Unternehmerforum**  
Seminare - Inhouse-Trainings

# Licence for AML Officers

Basic seminar on the duties listed in §27 PrüfbV (Audit Report Regulation) and the 4<sup>th</sup> Money Laundering Directive



- > Complete overview of the latest developments in 2017
- > Interpretation and application notes of the German Banking Industry Committee (AuADK)
- > Limitation of the personal liability risks for the AML officer
- > Which approaches exist to avoid financial losses and liability cases?
- > Due diligence obligations and action strategies in practice

## Target group:

- > Managing directors, board members, financial service providers.
- > AML officers, deputy AML officers, designated representatives, compliance officer.
- > Internal audit and members of the legal department.

## Your benefits:

Optimal limitations of the risk of liability cases

Tasks, rights und obligations – Safe realisation of the § 27 PrüfbV duty list

Due diligence obligations and action strategies

Test security at the preparation of the risk analysis

## Your advantage:

Each participant receives the following S&P products:

+ guideline for the direct implementation of the anti-money laundering and fraud system (No. of pages: approx. 80)

+ guideline for the preparation / update of a risk analysis (No. of pages: approx. 20, Word doc.)

+ certificate of participation as verification of the advanced training and certification proof for submission to the BaFin for examination

## Dates:

16.05.2017  
**Frankfurt am Main**

07.06.2017  
**Frankfurt am Main**

05.09.2017  
**Berlin**

21.11.2017  
**München**

12.12.2017  
**Frankfurt am Main**

Service   
+49 (0)89 452 429 70-100

## Price:

690,- €  
Plus 19% VAT

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

**Competence  
knowledge for  
AML Officers**


## Program

09:15 am	<b>Welcome</b> Coffee and tea
09:30 am – 13:00 pm	<b>Limitation of the personal liability risks for the AML officer - Exchange of experience and discussion of current developments</b>
13:00 pm – 14:00 pm	<b>Lunch</b>
14:00 pm – 17:30 pm	<b>Due diligence obligations of AML officers – 4<sup>th</sup> EU Money Laundering Directive Minimum requirements for audit and control activities – risk analysis</b>
From 17:30 pm	<b>Summary</b>

## Content

### Thematic focus I

#### Optimal limitations of the risk of liability cases for representatives / the central office



**Concepts on  
limitation of risk  
liability cases**

- > Liability-related guarantor status – BGH (Federal Court of Justice) judgement of 17 Juli 2009 on the responsibility of representatives – „Siemens-/Neubürger“- judgement of 10th december 2013 on the compliance system
- > Limitation of the risk of liability cases for AML officers and representatives of the central office –Minimum requirements to the internal organisational measures
- > How do risk controlling, compliance, AML officers and internal audit work together ?
- > 5 steps for the optimal risk limitation of representatives

## Thematic focus II

### Tasks, rights and obligation of the central office – Safe realization of the § 27 PrüfbV duty list

#### Competence centre central office

- > Which requirements have to be obeyed by the AML officer ?
  - > Competence centre AML officer: tasks, rights and obligations of the central office (AML officer and representative for economic crime)
  - > Case studies and practical cases: establishment of appropriate safety measures, development of action strategies, emergency and escalation procedures
- > Risk management, control measures and audit procedures of the central office
- > Suspicion reports and behavior in the case of suspicion

#### Tips for implementation

*Implementation of the S&P Checklist on the duty criteria according to § 21 Audit Report Regulation*

## Thematic focus III

### Due diligence obligations and action strategies of the AML officer in practice

#### Know Your Customer

- > Overview of the due diligence obligations – Interpretation and application notes of the German Banking Industry Committee for prevention money laundering, terrorist financing and "other offenses" (AuADK)
  - > Target-oriented implementation of the due diligence obligations by the AML officer
  - > Identification procedures
  - > Recognition and monitoring of politically exposed people and high-risk customers
- > Target-oriented embargo and sanction monitoring – What do I have to take into account?

#### Tips for implementation

*+S&P work instructions on the defence of money laundering and economic crime*

## Thematic focus IV

In which areas did serious acts of economic crime take place in the past?

### Recognizing economic crime

- > Characteristics, motives and typical profiles of offenders
- > Action strategies for unusual and conspicuous business relationships or transactions
- > Special measures against fraudulent activities or any other criminal offenses
- > Fight against fraud according to § 25h KWG: emergency response, preventive measures and immediate measures
- > Application notes, case studies and practical experience

#### Tips for implementation

+ *S&P guideline on the fight against fraud and the defence of any other criminal offences*

+ *S&P Checklist on the prevention of external and internal offenses*

## Thematic focus V

Test security at the preparation / update of the risk analysis – organization of the system of registration of suspicion cases

### Risk / hazard analysis

- > 4th EU Money Laundering Directive – Latest supervisory and audit relevant requirements
- > Development, structure and content of a risk analysis with the focus on money laundering and economic crime
- > Risk inventory and audit-proof classification of risks
- > New instructions of interpretation and implementation on the system of registration of suspicion cases
- > When and how to report suspicions?
- > Report of suspicions – Interfaces to investigating authorities

#### Tips for implementation

+ *S&P guideline on the actualisation and update of a risk analysis*

+ *S&P Checklist for a legally compliant suspicion*

## 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

- > 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

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## 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)

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## Participants also booked the following seminars:

- > **Money laundering & fraud – basic seminar**  
Specifications according to PrüfBV (Audit Report Regulation) – 4th EU Money Laundering Directive
- > **Prepared for the money laundering audit**  
Risk analysis, monitoring and suspicions
- > **Update for money laundering**  
Suspicious – prevention of money laundering – risk assessment
- > **MaRisk- Compliance – in the focus of banking supervision**  
Implementation of the latest requirements in MaRisk 5.0, CRD IV, §25 KWG new
- > **MaRisk-Compliance – advanced seminar**  
Risk Assessment – ICS (internal control systems) – compliance report

Reply fax +49 89 452 429 70 299 or  
service@sp-unternehmerforum.de

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## Licence for AML Officer

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):

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|-------------------------------------|-------------------|--|
| <input type="checkbox"/> 16.05.2017 | Frankfurt am Main | <input type="checkbox"/> No, I won't be able to participate.<br>Please inform me about further scheduled dates.  |
| <input type="checkbox"/> 07.06.2017 | Frankfurt am Main |  |
| <input type="checkbox"/> 05.09.2017 | Berlin            | <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"/> 21.11.2017 | München           |  |
| <input type="checkbox"/> 12.12.2017 | Frankfurt am Main |  |

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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. |   |

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name and position in the company

company

number of employees

street, postcode / city

telephone

fax

email

date / signature

The registration will become legally binding upon my signature!

Service   
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