

AML & Compliance

Compliance Wisdom from Enforcement Cases

Course Details

Price

£215.00

Length

Half day (09:30-12:00)

Course Overview

Join us for an interactive discussion on the key practical learnings that can be gleaned from the recent enforcement cases in Guernsey and Jersey.

We will look at public statements to identify what actions you can take and what measures you can apply in your role and in your firm.

Content

During this session you will cover:

- Recent enforcement cases in the Channel Islands
- Enforcement in other jurisdictions which may be relevant
- What went wrong?

Flexible learning that works for you

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- What are the common trends?
- Actions you can take to manage these risks within your own firm

Benefits

This course has been designed to give a practical overview in the area of regulatory enforcement to ensure that your knowledge is up-to-date with the latest action and trends and to ensure that your policies and procedures are current in light of any such action. This course is for individuals who are holding supervised roles or who are looking to move into a supervised role or those holding director or non-executive director roles in relation to supervised entities.

Next Steps

If you would like to book a place on this course please click on the **'Book Course'** button to the right of this page and login or register for a user account to complete your booking(s). Any queries please do not hesitate to contact us via admin@gta.gg or call us on **01481 224570**.

If no date is scheduled for this course at the present time please click on the **'Register Interest'** button and login or register for a user account so that we can add you to our course interest register. This register allows us to contact our tutors and finalise dates for a course as soon as we have a few people who have expressed their interest, so the more delegates who register their interest, the sooner we can schedule a particular course.

Course Tutor

Dawn Sealey

Dawn Sealey has over 20 years experience in financial regulation and compliance, with a particular focus on Investment and Fiduciary firms. Prior to joining Advisory Services (Guernsey) Limited Dawn spent 17 years at the Guernsey Financial Services Commission, most recently as Assistant Director within the Policy Team. Dawn also led the PRISM Low Impact Team within the Investment, Fiduciary and Pension Division for a number of years and held a variety of roles throughout her career at the GFSC, including Assistant Director within the Authorisations Division. Previously Dawn has worked in compliance for an FCA authorised UK Asset Management Firm with responsibility for five branches within England and Scotland. Dawn has a keen interest in ESG and has completed the Oxford Leading Sustainable Corporations Programme. She is a member of the Sustainable Finance Guernsey Council and Chairs their Education sub-committee.