



The rules are there to help you
Follow them for a safe journey

Compliance and Self Risk Assessment

9 March, 2014, 9:00am – 5:00pm
Jumeirah Emirates Towers, Sh. Zayed Road, Dubai

ABOUT THE COURSE

Compliance is an increasingly hot topic and it is vital for every institution to empower the compliance function and make it effective. This course explains the importance of compliance and basic steps behind assessing the risks related to it.

WHO SHOULD ATTEND

Compliance Officers, Board Secretaries, Lawyers, AML Officers



WHAT YOU WILL LEARN

- » What is compliance?
- » Importance of compliance
- » Compliance with rules and regulations
- » Regulatory risks
- » Compliance assessment tools
- » Workshop: using the self assessment method to identify compliance level.
- » Risk classification



HOW YOU WILL LEARN

Through case studies and interactive discussions participants will gain practical understanding of self risk assessment and building a structured compliance framework.



REGISTRATION

Course Fee: AED 1,200 per person

(Send 2 or more registrations and get a 10% discount on the total fee)

Please register by sending an email to academy@nasdaqdubai.com. For details please call Mansi Vivek on +971 4 305 5461 or Sana Belgaonkar on +971 4 305 5469.

Pre-payment is required for all enrolments. For cancellations received (in writing by email or fax):

- » 15 days before the course date there will be no cancellation charges.
- » 8 to 14 days before the course date, 50% of the course fee will be charged.
- » 7 days before the course date, 100% of the course fee will be charged.

Another delegate from the same company may substitute in the place of the primary delegate should the need arise.



ABOUT THE SPEAKER

Hala Abou Alwan

Compliance Services Director, Head of Consultancy Business – EMEA

Hala Abou Alwan is Thomson Reuters' Compliance Services Director, Head of Consultancy Business - handling Middle East, Africa, Europe and Russia. She heads the training, consultancy and mentoring services in these regions. Before joining Thomson Reuters, she used to work as a Compliance Consultant/ DFSA publicly registered Compliance Officer/ MLRO for several DFSA authorized firms. In this role she handled the building of AML/ Compliance/ Corporate Governance and Sanctions Framework; and trained all staff in the companies that she was responsible for (banks, investment firms, internet based forex trading and currency information services' companies, investment companies, insurance firms...etc).

As the Course Director, she has facilitated workshops and training seminars on Corporate Governance, Compliance, Anti-Money Laundering, Market Abuse, Business Conduct, Fraud, Financial Crimes, Customer Services, International/ Local Rules and Regulations; Central Bank risk assessment visits and preparation for mitigating the risks encountered. She delivers trainings in Arabic and English language.

Before joining Total Solutions Middle East, she was the Head of the AML/ Compliance Department at BLOM Bank France. She was responsible for developing the AML/ Compliance unit in UAE and implementing the AML/ KYC/ Compliance projects. She has also developed the AML/ Compliance/ Sanction's manual and guided the implementation process. Prior to that, she had worked in a legal firm in Lebanon as a Lawyer for over 6 years where she handled different cases including financial crimes and international sanctions.

She is a member in the Lebanese Lawyer's Bar Association. She holds a Masters degree in Data Processing Law/ Artificial Intelligence - Legal informatics (IT and Law) from the Sagesse University, and a Bachelors degree in Law from the Lebanese University.