2nd Annual Compliance & Economic Crime Symposium

A one-day event at the Duke of Richmond on Tuesday 21 November 2017

7 hours CPD

- Chris Usher, Jersey International Business School (Chairman)
- Phil Mason OBE, UK Government (Keynote speaker)
- Rob McMahon, Barclays
- Mark Dunster, Carey Olsen
- Will Giles, States of Guernsey
- Neil Donovan, Freshfields Bruckhaus Deringer LLP
- Megan M.E. Pullum QC, Guernsey Law Offices
- Jon Barclay, Bedell Cristin
- Simon Davies, Ogier

www.GuernseySymposium.com
Introduction

This year’s symposium considers the risks faced by financial services businesses of facilitating monies derived from bribery and corruption.

Following the Panama Papers scandal in 2016 and the increasing focus by governments around the world on the detrimental impact of bribery and corruption on communities in poorer regions, this event will examine anti-bribery & corruption (ABC) from the perspective of policy makers, law enforcement agencies and industry practitioner.

Agenda

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<thead>
<tr>
<th>Time</th>
<th>Event</th>
<th>Presenter</th>
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<tr>
<td>08:30–09:00</td>
<td>REGISTRATION &amp; REFRESHMENTS</td>
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<tr>
<td>09:00–09:15</td>
<td>Opening address</td>
<td>Chris Usher (Chairman) Chief Executive Officer of Jersey International Business School</td>
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<tr>
<td>09:15–09:45</td>
<td>The relationship between the facilitation of bribery &amp; corruption monies and poverty in Africa</td>
<td>Jonathan Benton Director of Operations - Europe at The Sentry &amp; Former Joint Head of the UK International Corruption Unit at the National Crime Agency</td>
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<td>09:45–10:15</td>
<td>Designing and implementing effective corruption risk management systems</td>
<td>Phil Mason OBE Senior Anti-Corruption Adviser – Department for International Development at UK Government</td>
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<td>10:15–10:45</td>
<td>Embedding effective ABC policy and procedure</td>
<td>Rob McMahon Acting Global Head of Anti-Bribery &amp; Corruption at Barclays</td>
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<td>10:45–11:15</td>
<td>How the Guernsey financial services industry can help in stemming the financial flows from bribery &amp; corruption</td>
<td>Panel Discussion</td>
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<td>11:15–11:30</td>
<td>BREAK</td>
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<td>11:30–12:00</td>
<td>The role of the Law Officers of Guernsey and how the department supports the fight against financial crime</td>
<td>Megan M.E. Pullum QC HM Procureur at the Guernsey Law Offices</td>
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<td>12:00–12:30</td>
<td>Case studies in economic crime prosecutions</td>
<td>Will Giles Serious Economic Crime Prosecutor at States of Guernsey</td>
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<td>12:30–13:00</td>
<td>Common failures in managing financial crime risk</td>
<td>Panel Discussion</td>
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<td>13:00–14:00</td>
<td>LUNCH</td>
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<td>14:00–14:30</td>
<td>4th / 5th EU AMLD – what’s next?</td>
<td>Simon Davies Partner at Ogier</td>
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<td>14:30–15:00</td>
<td>The Criminal Finances Bill – key considerations for financial services professionals</td>
<td>Neil Donovan Senior Associate at Freshfields Bruckhaus Deringer LLP</td>
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<td>15:00–15:30</td>
<td>The practical implications of legislation in relation to financial crime prevention</td>
<td>Panel Discussion</td>
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<td>15:30–15:45</td>
<td>BREAK</td>
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<td>15:45–16:15</td>
<td>The evolving Sanctions landscape – how geopolitics is influencing policy</td>
<td>Jon Barclay Partner at Bedell Cristin</td>
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<td>16:15–16:45</td>
<td>The importance of governance, risk &amp; compliance to the Guernsey financial services industry</td>
<td>Mark Dunster Partner at Carey Olsen</td>
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<td>16:45–17:00</td>
<td>Closing address</td>
<td>Chris Usher (Chairman) Chief Executive Officer of Jersey International Business School</td>
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Discounts

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<tr>
<th>Discount</th>
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<td>20%</td>
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<td>10%</td>
<td>ICA, STEP, GAT, IoD, CIISF, Digital Greenhouse and GCOC members (Discounts cannot be used in combination)</td>
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Meet the Chairman & Keynote speakers

Chris Usher (Chairman)
Chief Executive Officer
Jersey International Business School

Chris has over 20 years’ experience in financial services, working both in the UK and offshore, for major financial institutions such as Barclays Wealth and Santander.

He now specialises in delivering training in investment management, taxation and regulatory issues. Formerly an International Investment Manager he advised both individuals and corporate entities on complex investment scenarios. One of his students was awarded the highest global mark ever, out of 10,000 students, for the level 6 Private Client Investment Advice & Management paper (PCIAM) awarded by the Chartered Institute for Securities & Investment (CISI).

Notably, Chris has trained on behalf of the British Bankers’ Association in London on regulatory matters and was also invited to speak at the Association of Certified Anti-Money Laundering Specialists (ACAMS) conference in Miami in 2013 on the topic of ‘Understanding the Criminal Vulnerabilities of Offshore Products and Services’.

Phil Mason OBE (Keynote speaker)
Senior Anti-Corruption Adviser – Department for International Development
UK Government

Phil is DFID’s Senior Anti-Corruption Adviser. He has worked for DFID for nearly 30 years (since 1988). He began DFID’s anti-corruption work in 2000 under International Development Secretary Clare Short and developed the department’s first anti-corruption efforts. These, unusually for a development agency, focused equally on ‘supply side’ issues – the responsibilities of developed countries – as well as traditional technical assistance work in developing countries. This meant evolving a strong working relationship with domestic departments on issues such the UK’s anti-bribery legislation, trade practices of British companies abroad, anti-money laundering controls, and early work on asset recovery. Under his guidance, DFID established aid-funded UK law enforcement units to investigate and recover stolen assets in the UK originating from developing countries and to pursue bribery by British companies in developing countries.

He helped negotiate the UN Convention against Corruption which was agreed in 2003. Between 2005 and 2009 he headed DFID’s overseas territories department. He returned to lead the anti-corruption team again in January 2010. He was awarded an OBE in the Queen’s New Year Honours list in 2016 for services to the UK’s international anti-corruption policy.

Jonathan Benton (Keynote speaker)
Director of Operations – Europe at The Sentry & Former Joint Head of the UK International Corruption Unit at the National Crime Agency

Director at The Sentry. Responsible for all policy, operational activity (global) and government relations across EU. Accountable to The Sentry founders George Clooney and John Prendergast delivering the objectives of: exposing, tackling and preventing illicit money flows that support genocide, war crimes and human rights abuses in Africa.

Formerly an executive-level senior police officer with national responsibility for startegy, operations and performance relating to international anti-corruption and anti-bribery. Experience of running complex multi-disciplinary teams in areas of high sensitivity concerning UK economic interest and risk.

Achieved close co-operation with governments, agencies and the private sector.

Used to operating at all levels including ministers and heads of state.

Extensive experience in anti-money laundering, financial crime. Unique perspective on corruption-related risk across blue chip companies operating in Africa.
Rob McMahon  
**Acting Global Head of Anti-Bribery & Corruption**  
**Barclays**

Rob currently heads up the anti-bribery function at Barclays, having previously held a number of leadership positions within the bank’s financial crime compliance team over the past 8 years. Much of that work has been focused on the build-out of an effective anti-bribery & corruption control framework, leveraging Rob’s previous experience in project management. Rob joined Barclays’ graduate trainee programme in 2000, initially working in retail banking and Barclays Africa, before moving to the Corporate & Investment Bank. He is married with 3 young children.

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Neil Donovan  
**Senior Associate**  
**Freshfields Bruckhaus Deringer LLP**

Neil acts for retail and investment banks, insurance companies, and other corporates with a focus on litigation and regulatory proceedings. He is a member of the global investigations and corporate crime teams, and regularly works on complex cross-border investigations.

Neil frequently advises on financial crime issues including fraud, bribery & corruption, and money laundering. He acts for corporates across a range of sectors including financial services, manufacturing, retail and energy. He has particular experience advising clients on the application of the Bribery Act 2010 and the Proceeds of Crime Act 2002.

Neil has completed secondments to a global investment bank in London and the firm’s US white collar team in New York.

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Jon Barclay  
**Partner**  
**Bedell Cristin**

Jon is highly rated for his presence in court. He advises institutions, law firms and in-house teams worldwide across the range of international financial services litigation. He has a close interest in cross-border enforcement and asset recovery and has received particular recognition for his work in the fraud arena, with freezing injunctions and related orders.

Jon began his legal career in 1999 as a barrister in the chancery and commercial group at leading UK set No. 5 Chambers. He returned to his home island of Guernsey 6 years later and was admitted as an Advocate of the Royal Court in 2006.
Meet the speakers

Simon Davies
Partner
Ogier

Simon Davies specialises in contentious trusts, commercial litigation, insolvency, administration, receivership, fraud & asset trading, shareholder disputes, breaches of fiduciary duty, professional negligence and mediation.

He was admitted as a Solicitor of the Supreme Court of England and Wales in 1993 and is an Advocate of the Royal Court of Guernsey. Prior to joining Ogier, Simon worked at another leading Channel Islands firm and for 10 years at Ashurst in London, during which time he was seconded for 14 months to Hashidate Law Office, Tokyo, Japan.

Simon is a member of the Royal Court Civil Procedure Rules Review Committee. Simon featured as a Leading Individual in the 2013 edition of The Legal 500 and the 2014 edition of Chambers UK for Dispute Resolution in Guernsey. He was also listed in the Citywealth Leaders List 2013 and 2014 for contentious trust lawyers.

Mark Dunster
Partner
Carey Olsen

Mark is a partner specialising in litigation, compliance and financial regulatory matters.

He undertakes a wide variety of commercial and civil litigation, including insolvency work. He also advises institutions on regulatory matters such as anti-money laundering, data protection, employment law, eGaming and renewable energy. He is an author of books on anti-money laundering and data protection. He is also the MLRO for Carey Olsen Guernsey.

Mark is the current Chairman of the Guernsey Association of Compliance Officers and the Chairman of the Guernsey Bar Association known as Bâtonnier.

Mark holds a number of non-executive director positions for Guernsey businesses in the eGaming, fiduciary, transport and real estate sectors and has been awarded Chartered Director status by the Institute of Directors.

Will Giles
Serious Economic Crime Prosecutor
States of Guernsey

Will is the Serious Economic Crime Prosecutor for the Bailiwick of Guernsey. As an advocate of the Royal Court, he has been employed in this specialised role since 2010. Between 1997 and 2007 he had established a successful criminal defence practice in Leeds, specialising in Higher Court advocacy and the full range of serious offences. In 2007 he transferred to a newly established unit in Cambridgeshire, where he prosecuted serious fraud and money laundering cases for the Crown Prosecution Service.

Whilst in Guernsey he has conducted a number of high profile trials, including LOC v Doyle and Lanyon which is believed to have been the longest criminal trial Guernsey had held at that time (2015).
Megan M. E. Pullum is HM Procureur (Attorney General) of Guernsey. She is a Crown Advocate with over 20 years' experience working as a government lawyer. She previously worked within the Welsh and English governments and she has also worked as a private lawyer in Brussels and as a freelance employment law lecturer.

Megan came to Guernsey in 2002 and worked as a litigator for a private Law firm before moving to St James Chambers. She qualified as an Advocate in 2006, was appointed HM Comptroller (Solicitor General) in 2012 and HM Procureur in 2016. She is also an accredited workplace Mediator.

She has a strong interest in constitutional and EU Law. She is a member of the Law Society’s EU Committee.

Anthony Williams
Partner and Head of Dispute Resolution, Guernsey
Appleby

Anthony is a Partner and Head of Dispute Resolution in Guernsey. He is an Advocate and regularly appears in the Royal Court of Guernsey. Anthony has significant experience in many areas of corporate litigation and dispute resolution. He has particular expertise in high value and complex commercial litigation, with particular focus on investment fund disputes, directors’ and shareholders’ disputes, contentious insolvency matters, asset-tracing and recovery work, and trust litigation. Most recently Anthony was regarded as a notable practitioner by Chambers UK 2017 attracting plaudits for being “calm and collected under pressure” and for “going the extra mile to assist clients.” According to the same directory “he has attained significant experience appearing before the Royal Court and the Court of Appeal in areas including investment fund disputes, asset tracing and multi-jurisdictional litigation.”

The Legal 500 UK 2016 described Anthony as an "excellent advocate" who leads Appleby’s "dynamic team.”