



Running Time:
4:26:19

From FINTRAC Exams to Customer Behaviour: Regulators' Expectations Today

This seminar begins by focusing on the two detailed styles of FINTRAC examination, desk and onsite, from the initial contact and preparation phase through to any remediation required as a result of noted deficiencies or better practices suggested by the examiner. FINTRAC examinations have changed in focus and outcomes ever since their inception. Much of this change has resulted from the maturing of FINTRAC's examination processes and the evolution of compliance management practices needed to address the emerging complexities of crime and the methods used by criminals and terrorists to conceal their profits.

Topics discussed include exploring how to best prepare the requested documentation for the examiner; the detail required; findings from compliance assessments of these documents and their application; expectations regarding data quality, timeliness and completeness; record-keeping practices and confirmation through sampling; reporting practices with special emphasis on over or under reporting; training content, credibility, delivery, understanding, application and retention; compliance management; and compliance officer knowledge, training, and expertise.

The session examines customer behaviours and unusual practices that emerge as customer relationships begin and evolve. Unusual behaviours could lead to further investigation and ultimately the compliance department submitting a Suspicious Transaction Report to FINTRAC or even de-marketing of the customer.



This seminar has been structured to provide pragmatic learning materials for compliance officials from all AML/CTF reporting sectors in Canada:

- Financial
- Money Service Businesses
- Securities
- Real Estate
- Gaming
- Life Insurance
- Accounting
- British Columbia Notaries



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Christopher Walker, About Business Crime Solutions, Inc.

Chris is a criminologist and President of ABCsolutions. Chris has over 40 years of experience working in the public and private sectors with the last 22 years focused on money laundering controls across Canada. Chris is recognized as a skilled educator, who specializes in bringing out the pragmatic aspects of new knowledge using real life examples and common sense approaches to applying new information. He has taught adult learners at both the College and University level and worked as training coordinator at both the Federal and Provincial department level. For the past 16 years Chris has developed extensive knowledge of and experience with the various AML/CTF Compliance Regime requirements and practices across the reporting sectors governed by Canada's Money Laundering legislation. He has used that knowledge and associated insights to develop with Marcy two seminars that look at the real world practices associated with the various topics presented.

Marcy Betts, AML Consultant

Marcy Betts has 29 years of experience working in the financial institutions sector in the Prairie provinces. Starting in the front lines of a large credit union, she worked her way up to the role of Operations Analyst responsible for the development and implementation of various policies and procedures across the organization. In 2000, Marcy assumed AML/CTF compliance duties. This role of Compliance Officer grew exponentially to include applying her knowledge in the field to smaller credit unions that came looking for help and expertise. Today, Marcy oversees the AML compliance programs for more than twenty credit unions in Saskatchewan and Manitoba. She has an excellent working relationship with the regulators; and has experienced more than 40 FINTRAC examinations with more than 30 receiving no deficiencies. These seminars will enable Marcy to share her practical experience and insights on the various topics to be covered, including the lessons learned and remediation responses arising from her FINTRAC examination experiences.



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