



## Agenda

1. Risk & Compliance vandaag
2. EduRisC
3. Sneak preview; de Panama papers (Caspar Riekerk)
4. Afsluiting

Thomson Reuters Annual Cost of Compliance Survey Shows Regulatory Fatigue, Resource Challenges and Personal Liability to Increase Throughout 2015

## Thomson Reuters over de Compliance functie:

- Toenemende druk aan wet- en regelgeving
- Toenemende *persoonlijke* aansprakelijkheid Compliance officer
- Goed opgeleide Compliance officer moeilijk vindbaar



## EduRisC webinars

### Permanente educatie door top experts

- ✓ Continue aanbod van live online updates door top experts
- ✓ Actueel, ervaring uit de praktijk, toepassingsgericht

### Flexibel

- ✓ Risk & Compliance professionals kiezen zelf sessie/onderwerp/tijdstip
- ✓ Sessies kunnen ook terug gekeken/geluisterd worden
- ✓ Jaarlijkse certificering bij voldoende deelname aan sessies

### Online & interactief

- ✓ Webinars zijn online, live en in kleine groepen
- ✓ Luisteren, kijken en jouw vragen kunnen stellen

# Ons programma

## Governance & Organisation

## Culture & Conduct

## Risk Management

## Compliance

## Financial Fraud

### 1. Governance & Organisation

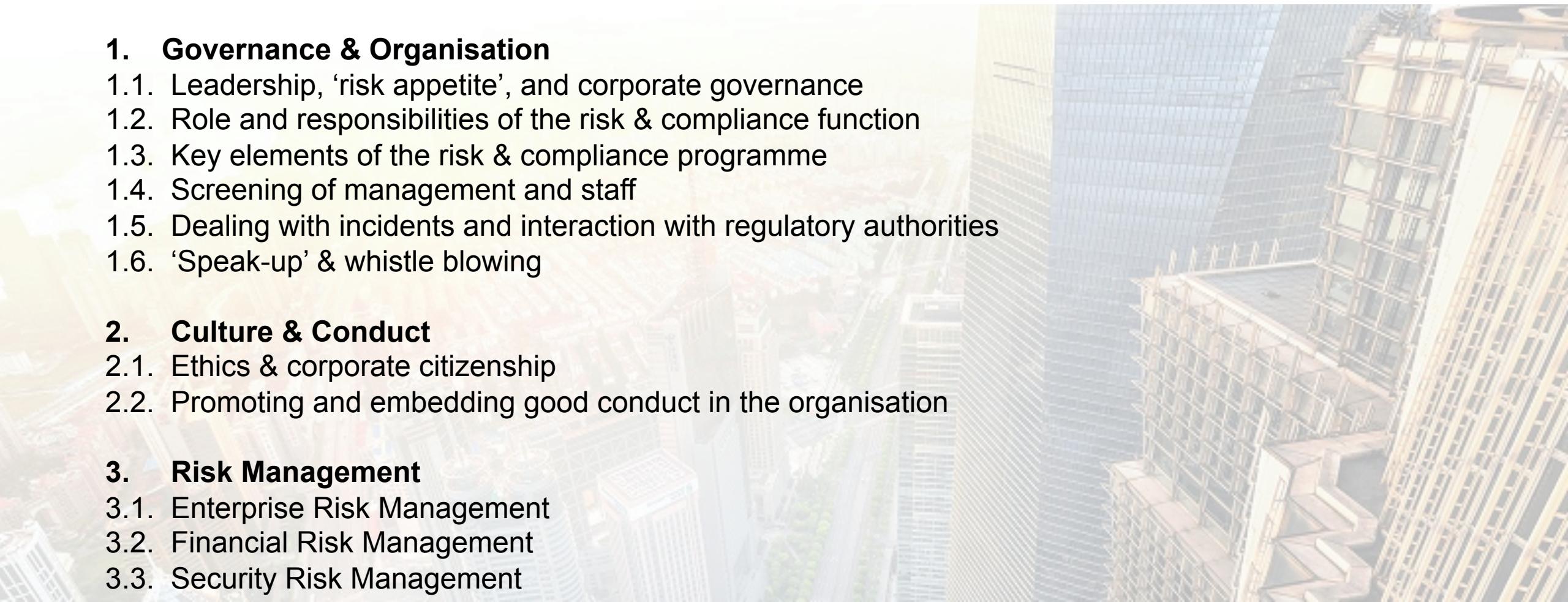
- 1.1. Leadership, 'risk appetite', and corporate governance
- 1.2. Role and responsibilities of the risk & compliance function
- 1.3. Key elements of the risk & compliance programme
- 1.4. Screening of management and staff
- 1.5. Dealing with incidents and interaction with regulatory authorities
- 1.6. 'Speak-up' & whistle blowing

### 2. Culture & Conduct

- 2.1. Ethics & corporate citizenship
- 2.2. Promoting and embedding good conduct in the organisation

### 3. Risk Management

- 3.1. Enterprise Risk Management
- 3.2. Financial Risk Management
- 3.3. Security Risk Management



# Ons programma

Governance & Organisation

Culture & Conduct

Risk Management

Compliance

Financial Fraud

## 4. Compliance

- 4.1. Conflict of interest management, confidentiality, and market abuse
- 4.2. Competition and anti-trust
- 4.3. Privacy and dataprotection
- 4.4. Sanctions and export controls
- 4.5. Customer Due Diligence

## 5. Financial Fraud

- 5.1. Bribery and corruption
- 5.2. Fraud and cybercrime
- 5.3. Money laundering and terrorist financing

## Ons netwerk aan experts (toegezegd en in afwachting)

**VLADIMIROFF**  
ADVOCATEN

**FINNIUS**

**KPMG**

**mp**  
PRIVACY  
MANAGEMENT  
PARTNERS

**Deloitte.**

**zwilkke|r**  
*compliance associates*

**philip.sidney**



*De Compliance Academie*

*En een aantal Chief Risk & Compliance Executives van grote financials & Corporates*

STAY ...



**RELEVANT**



## De Panama papers: een compliance achtbaan EduRisC

2 juni 2016  
Casper Riekerk

# Ingrediënten

- Vermeende misstand met integriteitsdimensie
- Publiciteit, mediahype
- Autoriteiten manifesteren zich  
(AFM, DNB, **Belastingdienst-FIOD**, OM)
- Onderzoek bij financiële instellingen
- Wat is de rol van de compliance officer?

# Rol compliance

- Interne organisatie
  - integere en beheerde bedrijfsvoering
  - CDD / Wwft
  - Systematische integriteitrisicoanalyse (SIRA)
- Crisismanagement
  - interne roverdeling en aanpak (protocol beschikbaar?)
  - melding incidenten en antecedenten
  - wel/niet publiciteit zoeken
- Houding
  - bevoegdheden
  - informatie beschikbaar stellen
  - tips wat te doen (en wat niet)

# Binnenkort meer in dit (live online) theater:

The screenshot shows the EduRisC platform interface. At the top left is the logo 'EduRisC Risk & Compliance Online education'. To the right is a user profile for 'Christiaan van Bu...' labeled 'DEELNEMER' with a checked box. Below the header is a large image of a hand holding a domino piece over a row of dominoes.

The main navigation bar features five red buttons: 'Dashboard' (with three horizontal lines icon), 'Zoeken' (with magnifying glass icon), 'Geboekte sessies' (with calendar icon), 'Transacties' (with money icon), and 'Berichten' (with bell icon). The 'Berichten' button has a small orange box with the number '1' above it.

Below the navigation bar is a horizontal filter bar with three tabs: 'Geplande' (highlighted in red), 'Sessiegeschiedenis', and 'Geannuleerd'.

The main content area displays a session card for 'GOVERNANCE & ORGANISATION | SESSIE 1 | 60 MINUTEN'. The title of the session is 'De Panama vraag'. On the left is a black and white portrait of a man in a suit. To the right, text indicates 'De sessie begint over 43 DAGEN 19:50:47' and the date '23 July 09:00'. A red button at the bottom right says 'Ga naar de sessie'. Below the session card are five small icons: a red circle with an 'i', a red square with a play button and the number '1', a red document icon, a red 'X' icon, and a red cluster icon.

At the bottom right of the page is the FINNIUS logo with the text 'FINNIUS | pagina 12'.

## Ons aanbod aan

### Risk & Compliance Professionals:

- Expert sessies van steeds een uur: 75 euro
- Jaarabonnement van 15 expert sessies: 895 euro (~~1.125,-~~), inclusief **certificering**
- 'All you can learn' in 1 jaar: 1350 euro, inclusief **certificering**
- Risk & Compliance Platform Europe congres: 295 euro (~~395,-~~)

### Organisaties

- Corporate Jaarabonnement
- Risk & Compliance Platform Europe conference: 295 euro per person (~~395,-~~)

STAY ...



**RELEVANT**