

# THE WHEELS OF COMPLIANCE<sup>®</sup>

**“And How To Keep Them Well-oiled In The Journey To Excellence”!**

November 12, 2020 | Marriott Hotel-Karachi | 9:00am to 5:00pm

## PROGRAM OVERVIEW:

**“The illiterate of the 21st century will not be those who cannot read and write, but those who cannot learn, unlearn, and relearn.”—Alvin Toffler**

This program delves into the importance of the Compliance function, the key responsibilities handled by it, its place in the GRC framework, and linkage with Ethics. It also explains the key areas to be covered in an effective ethical compliance program and how to inculcate a robust compliance and ethics culture. Many people misconstrue that Compliance is concerned only with the AML/CFT programs; while these programs are a critical component of any Compliance agenda, there are various other important issues that the organizations of today have to grapple with, e.g., third-party/vendor risk management, information security, fraud risk, reputational risk, conduct risk, organizational culture, etc. The program covers these topics, and more!

In line with the quotation above by Alvin Toffler, the participants should expect to UNLEARN some concepts while gaining NEW knowledge as well as RE-LEARNING of others.

## LEARNING OUTCOMES:

This program will enable the participants to:

- Better appreciate the role of Compliance
- Weigh the benefits of Compliance versus potential consequences of Non-Compliance
- Understand the Lines of Defense Model
- Relationship Between Business Ethics and Compliance
- Risk management of third-party/vendor relationships
- Become aware of the various elements of fraud.
- Contribute towards strengthening the compliance culture.
- Acquire understanding of ethical issues involved in various activities of the organization.
- Gain some practice in resolving ethical dilemmas
- Hopefully, to have some fun as well, while learning from each other!

## Who is it for?:

Professionals from Compliance, HR, Risk, Legal, Procurement, Operations, Internal Control, Finance, Audit. Also, relationship managers and product managers. Although, the program is primarily for bankers, participants from other industries may also benefit from attending this course. Additionally, Board Members who want to learn about compliance and business ethics could benefit.



## COURSE FACILITATOR:

### FAISAL ANWAR, CCEP-I

- Independent Consultant/Advisor & Trainer
- Former Chief Compliance Officer & Head of Global Compliance Group, HBL
- Former Chief Operating Officer, ABN AMRO and RBS, Pakistan
- Member, International Task Force on Integrity & Compliance, B-20/Saudi Arabia

## Workshop Investment

**PKR 14,500/-**

**+SST Per Participant**

## Fee Includes:

- 5 Star Hotel Venue for Training
- Course Material
- Certificate of Attendance
- Lunch & Refreshments
- Business Networking
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For Details & Registration contact

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## AGENDA

### Session-1:

- What is Compliance?
- Why Compliance? Is there any ROI for Compliance?
- Who is a "Good" Compliance Officer?
- Overview of various types of risk including compliance risk.
- Lines of Defense.
- Key responsibilities of the compliance function.
- SBP regulations on the compliance function.

### Session-2:

Key regulations governing areas such as AML/CFT/CPF, Corporate Governance, Customer Protection, etc.

### Session-3:

- Fraud Risk Elements
- Third-Party Risk Management, Regulations on: Outsourcing, Integrity of Service Providers,
- Cyber Security Essentials

### Session-4:

- Linkage between Compliance & Ethics.
- Is Ethics = Religious Values?
- Corporate Values & Business Ethics. Are they the same?
- Conduct Risk
- Need for a Code of Conduct

### Session-5:

- Conflicts of Interest
- Ethics in Marketing and Selling
- Ethics in Procurement
- Ethics in Gifts and Entertainment
- Ethics in Dealing/Trading
- ABC (Anti-Bribery & Corruption) Policy.
- Chinese Walls
- Ethics in HR Management
- Ethics in Data Privacy & Confidentiality
- Information Security
- Embedding an Ethical Compliance Culture Across the Organization.
- Ethical Decision-Making: Ethical Dilemmas and How to Resolve Them
- Whistle-blowing.
- Conclusion

**[Please note it will be a highly interactive program involving discussions, exercises, case studies/scenarios].**

### Profile:

## FAISAL ANWAR, CCEP-I



Faisal Anwar is a senior banking professional with diverse experience spanning over 30 years with top-notch multinational banks, i.e., RBS, ABN AMRO, Bank of America, and HBL as well as a newly established multilateral development bank, ECO Trade & Development Bank, at its headquarters in Istanbul, Turkey. Starting out as a management trainee, he progressed to senior positions such as the Executive Director & Chief Operating Officer-Pakistan with oversight responsibility for shared services, i.e., Operations, Admin, IT, Legal & Compliance, HR, ORM, and Finance. As the former Chief Compliance Officer & Head of Global Compliance Group at HBL, he managed various compliance functions spanning about 20+ international locations in Asia, Europe, Middle East, Africa, and USA, apart from Pakistan. Key themes that run across the assignments that Faisal has handled include: compliance accountability & management; operational risk management; ethical compliance including market conduct, business code of conduct; development & implementation of policies & procedures; service-provider/third party risk management; corporate governance; business process re-design; and people development. Since leaving HBL in December, 2016 he is engaged in providing independent consultancy/advisory and training & development services to banks and other organizations.

Some of the training programs he has conducted, both in-house and public, include: Compliance Essentials & Business Ethics, Money Laundering & Terrorist Financing. The Wheels of Compliance©, Third Party/Vendor Risk Management, Operational Excellence & Risk for Branch Managers & Operations Managers. Also, Faisal designed a course outline for "Ethics & Professionalism" as one of the new courses being introduced for Institute of Bankers, Pakistan's (IBP) Superior Qualification certification (ISQ). Also, assisted as an expert panelist for the design of a new course on "Compliance" for the ISQ certification. He has been a speaker and panellist at various forums. Furthermore, Faisal is a member of the B20-Saudi Arabia international Task Force on Integrity & Compliance which would provide policy recommendations to the G20 Leadership.

Faisal holds a B.Com (Gold Medalist) Degree from University of the Punjab, Pakistan; a BBA (with distinction) from University of Oklahoma, USA; and an MBA from University of Texas, USA. He has attended several programs/courses internationally as well as locally at institutions like IMD in Lausanne, Switzerland; Center for Creative Leadership in Brussels, Belgium; LUMS in Lahore, Pakistan and is also a graduate of ABN AMRO's Senior Management Course held at Santpoort, the Netherlands. Faisal qualified as a Certified Director from the Institute of Chartered Accountants, Pakistan under the Code of Corporate Governance of SECP. He holds the CCEP-I (Certified Compliance & Ethics Professional – International) Qualification from the Society of Corporate Compliance & Ethics, USA. Also, he is a Life Member of PSTD (Pakistan Society for Training & Development) and PSHRM (Pakistan Society of Human Resource Management). Faisal also holds the associate membership of ACFE (Association of Certified Fraud Examiners, USA).

### Testimonials:

Faisal Anwar Sahab is a legend and one of the best trainers on compliance I've ever met so far. Very informative session!

- Rabia Omar Hassan DGM - Regional Business Head North-HBL Asset Management

A knowledgeable personality having vast experience and information about the topic

- Ali Asif-AML Officer-UBL Bank

Good Speaker, knowledgeable and a good presenter. Had a very good learning session

Ebad-ur-Rehman- AVP-AML Analyst-Samba Bank

Good Speaker, having a variety of knowledge

Baber Jadoon-Assistant Director-State Bank of Pakistan

## Bring this program In-house at attractive discount

This workshop can be customized to suit specific needs of your organization which may lead to significant savings. Please contact Sarim Atique at sarim.atique@octara.com or call at 0345-8949470

### For Registration & Details:

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