



# speakers



## **Wendy Augustus**

Bermuda Hospitals Charitable Trust

Mrs. Augustus earned her business degree from Oakwood College in Huntsville Alabama. Before becoming the Executive Director for the Bermuda Hospitals Charitable Trust, she was self employed as a business consultant, working primarily within the non-profit area.

Mrs. Augustus was the first person locally to receive a Corporate Community Relations Certification from Boston College, a participant at the Williamsburg Development Institute on successful fundraising processes, solicitation and proposal writing and has trained with members & staff at the Fund for Johns Hopkins Medicine on healthcare fundraising. Recently she earned her executive certificate in Nonprofit Management at Georgetown University. She currently is a Board Member of the Bermuda Hospitals Board, Bermuda College Board of Governors, Family Court Panel, Bermuda Wellness Foundation, a member of the Association of Fundraising Professionals and the Association of Healthcare Philanthropist. She has been the recipient of the Bermuda International Business Association for her work with the Bermuda National PTA, Business Professional Women's Association award for her community service and the Bermuda Chamber of Commerce award for 100 women who Rock the Rock.



### **Bentley Beckles**

Advantage Caribbean Institute Ltd

Mr. Bentley Beckles - is a Microsoft Certified Trainer (MCT), Microsoft Certified Professional (MCP), Microsoft Office Specialist Master (MOS) Instructor and Internet and Core Computing (IC3) Instructor. He has spent over twenty four (24) years in the computer industry and regional training arena. He is responsible for the development of the Company's training services, delivery of training, recruitment and training of instructor resources, and custom design & development of course materials and manuals.

He has delivered training in Barbados, Jamaica, Turks & Caicos Islands, Cayman Islands, St. Lucia, St. Vincent, Dominica, Grenada, Montserrat and Guyana. His company, Advantage Caribbean Institute Ltd., will be celebrating 15 years, with an enviable 100% retention rate for his corporate clients, still very much with Advantage from the inception of the company. Because of his proven professional track record, many of his clients have found his services invaluable whether they simply wanted to upgrade the skill sets of their employees, roll out a new software, or transition a company from one software version to another. This speaks volumes to the strength of his relationship with these clients and their satisfaction with the training solutions he delivers.

His most recent stint was with the Mustique Company of St. Vincent and the Grenadines, in early January, transitioning the employees from Microsoft Office 2003 to Microsoft Office 2010.



### **Steve Davis**

Author-it Software Corporation

Steve Davis is the President of Author-it Software Corporation. He is an expert in building high growth companies and has played a key role in working with many of Author-it's clients in regulated industries such as Banking, Insurance, and Pharmaceuticals. Steve is a popular speaker at seminars and conferences around the world.



**Robert Duncan**  
British American Tobacco

Robert joined The Metropolitan Police in 1991 as a civilian researcher, and was posted to the Intelligence Unit of The Fraud Squad at New Scotland Yard. In 1998 he joined the National Criminal Intelligence Service investigating money laundering, drug trafficking and other aspects of Organised Crime affecting the UK. He was one of the first civilians in the UK to be an accredited Financial Investigator.

In 2002, Robert went to work for Travelex PLC, the foreign exchange provider, as the UK Money Laundering Reporting Officer and Group Money Laundering Compliance Officer.

Since 2006, he has been employed by British American Tobacco in the Anti Illicit Trade Intelligence Unit as an Intelligence Analyst collating intelligence on smuggling and counterfeiting and the links to Organised Crime in The Americas and Caribbean Region.



## Jeff Green

RBC

As vice-president, Global Compliance & Chief Privacy Officer, Mr. Green is part of the Group Risk Management function where he leads and is responsible for setting the strategic direction for regulatory and compliance risk management and controls for Canadian Banking and Caribbean Banking, consistent with RBC's strategic objectives and risk appetite, while promoting a strong culture of compliance across RBC. He provides oversight of regulatory and compliance controls as it relates to laws, regulations and regulatory expectations which govern the activities of Canadian Banking and Caribbean Banking in all jurisdictions in which they operate. As Chief Privacy Officer, Mr. Green oversees the strategic management of privacy and information risk on an enterprise-wide basis.

Born in Montreal, Quebec, and a graduate of the University of Toronto, Mr. Green has held increasing leadership roles with RBC for over 20 years, including branch banking roles, a successful investment advisory practice, and branch management roles in the full-service brokerage division in Canada. In 2001, Mr. Green was appointed Vice President and Branch Manager at RBC Dominion Securities, and in 2003, Mr. Green became Vice President at RBC Investments, with responsibility for the operational risk, risk policy, fraud management, Anti-Money Laundering, and Privacy Management programs for RBC Investments' businesses globally.

He was appointed Chief Privacy Officer in 2004, Head of Global Technology and Operations and Global Functions Compliance in 2007, Head of Enterprise Compliance in 2009 and to his current position in July 2011.

Mr. Green is currently the Vice-Chairman and Chairman-Elect of the International Association of Privacy Professionals.



**Andrew Johnston**  
Icarus Consulting

Andrew Johnston is the Managing Partner for Icarus Consulting, whose mission is to create the next generation of dynamic presenters.

Andrew has filled roles as speech writer for Government Ministers, Toastmaster's President and Mentor, and Master of Ceremonies. An accomplished trainer, Andrew has delivered training in a broad range of management fields in six countries and also conducts individual coaching for Senior Executives. Qualified as an NLP Practitioner and Workplace Trainer, Andrew has delivered exceptional excellence-driven training for over 50 clients with a personal hands-on approach and a raw honesty that creates positive change.

Presentations are best delivered through telling a story that the audience can relate to, in a dynamic and entertaining style, so that memory retention is ensured. Even traditional 'bland' reports to the board can be delivered in a more meaningful way with appropriate training and guidance.



**Martin Livingston**  
Maples and Calder

Martin is a Partner at Maples and Calder, a leading offshore law firm with a presence in the Cayman Islands, BVI, Dublin, London, Hong Kong and Dubai, and heads up the Regulatory Financial Services Group.

Martin advises international financial institutions on anti-money laundering, asset tracing, risk management, information exchange, licensing and regulatory matters. Martin has been President of the Cayman Islands Compliance Association since 2004.



**Robert Mathavious**  
British Virgin Islands  
Financial Services Commission

Mr. Robert Mathavious was appointed the first Managing Director and Chief Executive Officer of the Financial Services Commission in 2002.

Prior to the establishment of the Commission, Mr. Mathavious enjoyed an illustrious 25 year tenure in public service with the Government of the Virgin Islands.

As the Managing Director and Chief Executive Officer of the Financial Services Commission, Mr. Mathavious is responsible for the administration and operation of the Financial Services Commission. His responsibilities include: the regulation of the BVI's financial industry; the development of new service and product offerings aimed at developing and enhancing the attractiveness of the BVI as a situs for legitimate cross border financial services; and liaising with Government and private sector stakeholders in pursuance of this objective.



**Antonio Nicaso**  
Author and Organized Crime Expert

Antonio Nicaso is an award-winning journalist, a bestselling author and an internationally recognized expert on organized crime. He has written 22 books and he is a regular consultant and lecturer to universities, governments and law-enforcement agencies around the world. Frequently quoted, Nicaso is much in demand by media on both sides of the Atlantic. He teaches graduate studies on History of Organized Crime at Middlebury College, Vermont.

He has been a key speaker at various symposia in North America, Europe, Africa, and Australia. He sits on the Advisory Board of the Nathanson Centre on Transnational Human Rights, Crime and Security, at York University (Toronto) and on the International Advisory Council of The Italian Institute of Strategic Studies "Nicolò Machiavelli" in Rome (Italy).



**Dan Peak**  
ThomsonReuters

Daniel Peak is the former Chief Executive Officer for World-Check, which is now part of Thomson Reuters Global Risk and Compliance. Daniel joined World-Check in 2003, was with the company for eight years, leading the company as CEO for the last four years. In those four years the company grew four-fold and Daniel led the process of selling World-Check to Thomson Reuters in May 2011. As of January 1, 2012 Daniel has left Thomson Reuters following a successful integration and is now consulting, speaking and serving on the board of an AML software company, staying active in global risk and due diligence.

Daniel's experience with Risk, AML, FCPA, UKBA and related issues comes from thirty years in information publishing including roles with Thomson Financial Publishing (now Accuity), Thomson Shesunoff, World-Check, and the post purchase integration of World-Check with Thomson Reuters. World-Check started in 2001 as a start-up and after ten years as the market maker and market leader for AML screening data was acquired by Thomson Reuters while supporting over 5000 clients in over 160 countries including 49 of the top 50 banks in the world.



## **Avinash Persaud**

### **Intelligence Capital Limited**

Mr. Persaud is currently Chairman of Elara Capital PLC, an Investment Bank based in London and Mumbai; Chairman of PBL, a Real Estate development company in the Caribbean; Chairman of Intelligence Capital Limited, a London-based financial advisory firm; and Board Director of RBC Latin America and the Caribbean. He was formerly a Senior Executive at UBS, J. P. Morgan, State Street and GAM Holdings.

Avinash D. Persaud is Emeritus Professor at Gresham College, London, a Senior Fellow at London Business School, a visiting fellow at the Centre for Financial Analysis & Policy, Judge Institute, Cambridge University, 2010 President of the British Association for the Advancement of Science (Section F) and past Governor of the London School of Economics and Political Science. He was ranked as the number two public intellectual in the world on the financial crisis by an expert panel for Prospect Magazine. He is a member of the UK Treasury's Audit Committee and a member of the National Council of Economic Advisors in Barbados. He is a senior adviser to the Financial Services Law Reform Commission in India. Formerly, he was the Chairman of the Warwick Commission on Financial Reform, the Chairman of the regulatory sub-committee of the UN High Level Task Force on Financial Reform, co-chair of the OECD EmNet and member of the Pew Task Force to the US Senate Banking Committee.



## **Lita Pietersz**

### **RBTT/RBC**

From November 1996 until June 2005, Lita served as a civil-law attorney for HBNLaw, a leading law firm in Curacao. During her tenure at HBNLaw she participated in an exchange program and was assigned to the Civil Law Litigation Unit of the Law offices of Pels Rijcken & Droogleever Fortuijn in the Hague (Netherlands) where she worked for Mr. G.J.H. Houtzagers, state advocate, assisting the Dutch State in several legal proceedings. Since June 2005 until the present, Lita is based in Curacao as Senior Corporate Counsel -Dutch Caribbean for RBTT/RBC, a role which encompasses oversight of the 3 banks of the RBTT/RBC Dutch Caribbean group of entities, namely RBTT Bank N.V. (with branches in



### **Lita Pietersz continued...**

Curacao, Bonaire, St. Maarten and Saba), RBTT Bank Aruba N.V. (Aruba) and RBC Royal Bank (Suriname) N.V. (Suriname). Lita advises the RBTT/RBC Dutch Caribbean entities and their Caribbean and International parent companies/affiliates on (among other things) litigation, legislation, privacy issues, corporate governance, licensing and regulatory matters.

Lita earned her Master of Laws Degree from the University of Leiden in the Netherlands and was called to the Curacao Bar in January 1997. She currently serves as a member on the Curacao Banker's Association's Legal Committee, which is working closely with the Dutch Legislator and Regulators on the new Supervisory Acts for the BES (Bonaire, St. Eustatius and Saba) islands.



### **Stephen Platt**

**Stephen Platt & Associates LLP**

Stephen is acknowledged as one of the world's foremost experts in the regulation of financial services and financial crime in and through offshore financial centres. He is frequently engaged by governments, regulators and financial institutions in sensitive matters involving sanctions, money laundering, corruption and asset recovery.

Stephen is the Principal of Stephen Platt & Associates LLP a firm specialising in Risk and Governance services for the financial services industry. He is an Adjunct Professor at the Graduate School of Law at Georgetown University, Washington D.C., a Director of the Jersey International Business School and the founder of the global AML on-line community, KYC360.

Stephen acts primarily for institutional clients and regulatory authorities globally. For the former he advises on governance, risk management and regulatory compliance. For the latter he conducts regulatory inspections and provides advice on AML/CTF rules and the regulation of trust companies, banks and investments businesses. With additional expertise in sanctions, Stephen regularly advises some of the world's largest non-US banks on the risks of criminal and civil liability resulting from breaches of Office of Foreign Assets Control (OFAC) sanctions and Anti Terror Act Legislation.



## **Cindy Sadaphal**

RBC/ACPTT

Cindy is Counsel-Regulatory Affairs at RBC in Trinidad in which she currently provides, as an Attorney-at-law 11 years in practice, legal support on Anti-Money Laundering, Anti-Terrorism, Privacy and other Regulatory issues. Her role in the RBC started 5-6 years ago where she handled Bond and Debt Securities Transactions. She received her LLB from the University of the West Indies (Cavehill, Barbados) in 1998 and her Legal Education Certificate from the Hugh Wooding Law School in the Republic of Trinidad and Tobago in 2000 and is a member of the Law Association and Bar of the Republic of Trinidad and Tobago since 2000. Before joining RBC she worked with a Trinidad securities company, Caribbean Money Market Brokers Limited, where she managed the company's entire Legal and Compliance portfolio for 3 years.

She actively participates in local and regional compliance committees and was elected in April 2010 the Association of Compliance Professionals of Trinidad and Tobago's (ACPTT) first President and Chairman since its formation in 2009 for which she was instrumental and instructive. She continues to be the ACPTT's President and Chairman for a second term and works with a fine group of members, who actively have been working to grow the compliance industry and recognition of the compliance professional in Trinidad and Tobago. Cindy was also part of the working committee of the CRCA Conference held in Trinidad in 2008- this was in fact the opportunity that was the genesis for the formation of ACPTT which has been an active association since and now represented at this CRCA conference of 2012.

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## **Dawne Spicer**

### **Caribbean Financial Action Task Force**

Dawne Spicer is a Deputy Executive Director for the Caribbean Financial Action Task Force (CFATF), where she is responsible for overseeing the Mutual Evaluation Programme. Ms. Spicer joined CFATF in 2001 as a Legal Advisor, responsible for combating the financing of terrorism portfolio and the review of the legislative framework of the CFATF's Member countries. Ms. Spicer has over nineteen years of AML/CFT (anti-money laundering - combating the financing of terrorism) experience. In 1992, she began her career as a Legal Officer for the Ministry of National Security of Trinidad and Tobago. In that capacity, Ms. Spicer was involved in the development and review of anti-drug and money laundering legislation.

Ms. Spicer provides AML/CFT-related technical assistance in the form of training, to local, regional and international organizations. Ms. Spicer has participated both as an Examiner and Head of Mission for Mutual Evaluations of CFATF Member countries.

Ms. Spicer, a national of Trinidad and Tobago, earned a Bachelor's in accounting with honours and a Juris Doctorate degree from Howard University School of Business and Howard University Law School, respectively. Ms. Spicer has been admitted to both the Pennsylvania Bar and the Trinidad and Tobago Bar.



## Melinda Schmidt

KPMG LLP

Melinda is a Director in KPMG's Tax Information Reporting and Withholding practice, where she provides advisory services to domestic and foreign financial institutions with a focus on U.S. tax information reporting and withholding requirements.

In her combined 30 years of industry and KPMG experience in serving financial institutions, Melinda has been a part of the U.S. withholding and reporting evolution which includes the QI program and FATCA withholding regime, as well as Form 1099 reporting requirements; backup withholding, including B notice and C notice procedures; nonresident alien withholding and reporting requirements (Forms 1042 and 1042-S); deposit requirements, including Form 945 procedures; information reporting penalties and the reasonable cause waiver.

Melinda authors and is responsible for KPMG's Information Reporting Practice Advisory Service and its QI News Service.

Prior to joining KPMG, Melinda was Vice President and Director of Compliance at Federated Investors where she focused on mutual fund, transfer agency and retirement product compliance. In that capacity, she was responsible for compliance of two registered transfer agents with emphasis on rules of the Internal Revenue Service, the Securities and Exchange Commission, the Stock Transfer Association, and the states' taxing authorities. Prior to joining Federated, Melinda was affiliated with various Pennsylvania banks.

Melinda has been affiliated with various industry associations, and is a frequent speaker on tax information reporting and withholding matters, most recently focusing on the new FATCA withholding regime.



**Carole Switzer**  
Open Compliance & Ethics Group

Carole Switzer is the President of the Open Compliance & Ethics Group, a nonprofit think tank that provides objective standards, guidelines and online resources to help organizations achieve Principled Performance - the reliable achievement of objectives while addressing uncertainty and acting with integrity ([www.oceg.org](http://www.oceg.org)). OCEG's community of practice includes over 30,000 practitioners from a number of professions and industries.

Ms. Switzer served as the Executive Vice-President and General Counsel of OCEG from the time it was formed by a multi-industry, multi-disciplinary group of business leaders in 2003 until her appointment as President in September of 2007. During that time, she directed development of the OCEG Framework, including the open source OCEG Red Book GRC Capability Model (versions 1.0 and 2.0) of which she is a principal author, as well as the accompanying GRC Assessment Toolkit (known as the Burgundy Book). She oversees all of OCEG's work, including its certification and educational programs, publications and GRC Illustrated Series. She also created and served as Editor of the acclaimed publication GRC 360° Perspectives on Governance, Risk Management and Compliance.

Ms. Switzer is a recognized leader in corporate governance, risk management, and compliance (GRC). She holds a GRC Professional Certification (GRCP) from GRC Certify, is frequently published in leading business magazines, and lectures on GRC internationally. In 2010, she was honored with a lifetime membership in the Institute for Risk Management.



**Dr. Said Tabet**  
EMC Corporation

Dr. Said Tabet is leading the Governance Risk and Compliance Strategy within the Office of the CTO at EMC Corporation. He is also serving as the chair of technology standards at The Open Compliance and Ethics Group (OCEG), leading the GRC-XML Initiative.

Prior to joining EMC, Said was an entrepreneur and a principal information technology consultant, an expert in Business Rules and Business Process Automation as well as Governance Risk and Compliance. For close to two decades, he delivered to his clients worldwide numerous applications and products in various industry sectors including financial services, insurance, healthcare, eGovernment and eBusiness.

Said is actively involved in various standards bodies including ISO, XBRL International, OMG, W3C, CSA, IETF. He is the co-founder of RuleML, co-chair of CSA SME Council and actively involved in LegalRuleML, Cloud Computing, Cyber Security, Business Rules and Modeling. Said is driving the development and adoption of GRC-XML within multiple vertical and horizontal domains. He is a regular speaker at industry and academic conferences, author and organizer of International workshops and conferences.



**Chad Van Riper**  
Truth Technologies

Chad Van Riper is Director of Sales in the Americas for Truth Technologies (TTI). Truth Technologies ([www.truthtechnologies.com](http://www.truthtechnologies.com)) is a worldwide provider of anti-money laundering and automated customer screening and monitoring products and services. With experience on both the supplier and client side, he has worked with financial institutions around the world assisting with the design, implementation and management of customer screening and filtering solutions in compliance with AML regulations.

Chad has over 12 years experience in the financial services industry. Prior to joining Truth Technologies Chad was Director of Institutional Products for Rydex Investments; responsibilities included investment product development and management, relationship management, project management, compliance overview and supervision of all efforts related to the Institutional Product Business Line. Prior to joining Rydex Chad was a Sales Executive for Thomson Financial (Thomson Reuters).



**Nanci York**  
Scotiabank Group

As Vice President, Enterprise Compliance Projects, Nanci is responsible for the implementation of the Foreign Account Tax Compliance Act (FACTA) regulations for Scotiabank on a global basis.

Nanci joined Scotiabank in 2000 and mostly recently was Director, Process and Project Management within Global Transaction Banking (GTB). Previously she held the roles of Director, Compliance, Global Transaction Banking Trade Services and Financial Institutions and Director, Retail Compliance, Wealth Management.

Nanci received a Bachelors of Arts with a major in history from the University of Toronto, and a Masters of Business Administration from the Richard Ivey School of Business. She also completed the Pacific Rim Bankers Program at the Foster School of Business - University of Washington.

She recently served as co-chair of the GTB Advancement of Women committee and chaired the WGTB United Way Corporate Campaign in 2009. Nanci is also actively involved in the Wounded Warriors Foundation, a group who develops unique programs and services for wounded veterans.