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### **Personal Profile:**

AnneMarie Whelan is a Regulatory Trainer and Regulatory Consultant at Compliance Ireland.

AnneMarie is a qualified Barrister who specialised in Criminal Law and holds a Bachelor of Civil Laws from University College Dublin. She had extensive involvement in Litigation and advising clients with 9 Years post-qualification experience.

Through her work with Compliance Ireland, AnneMarie has gained further expertise in training, advising and undertaking review projects on regulatory matters spanning the full spectrum of Central Bank regulation. AnneMarie has also project managed and assisted clients in applications for Central Bank Authorisations in a range of sectors.

### **Anti-Money Laundering Experience:**

**Training** – AnneMarie has significant experience in delivering training on Irish and European Anti-Money Laundering Legislation to personnel from regulated and unregulated entities, the Central Bank of Ireland and the Department of Justice. She has consistently delivered Compliance Ireland’s course offerings which include:

- Full Day Courses
- Anti-Money Laundering Refresher Courses
- Anti-Money Laundering for Directors
- Seminars on Anti-Money Laundering Developments

**Consultancy** – AnneMarie has consistently been engaged in consultancy projects with particular focus on Anti-Money Laundering including:

- Drafting AML/CFT and Financial Sanctions Policies and Procedures including for entities seeking authorisation
- Responding to specific queries from the CBI in relation to AML/CFT processes
- Reviewing Policies and Procedures to assess compliance with Irish AML/CFT legislation including the performance of a Gap Analysis
- Assisting in the preparation or review of Business wide risk assessments
- Assisting and advising on responses to AML Risk Mitigation Plans issued by the Central Bank
- Providing written opinions on implementing AML/CFT requirements in a practical workable way

**On-site Reviews** – AnneMarie has been involved in and undertaken a number of onsite reviews for clients to assess compliance with AML/CFT obligations. These reviews have been performed for a range of Designated Persons of varying customer bases (both CBI Regulated and those supervised by the Department of Justice). Such reviews include:

- Review of existing policies and procedures to identify any gaps or deficiencies
- Sampling of client files to assess the adequacy and appropriateness of Customer Due Diligence in particular
- Agreeing sample sizes with clients using a risk based approach in line with CBI and Dept. of Justice guidance and reports
- Engaging with key personnel where necessary to assess the operation of particular AML/CFT processes in practice
- Preparation of a Report of findings highlighting any deficiencies and making recommendations