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Personal Profile:

Joseph Shannon is Head Regulatory Trainer and Regulatory Consultant at Compliance Ireland.

Joseph Shannon is a Barrister and holds an LLM in International Criminal law with specific emphasis in Terrorist Financing from National University of Ireland Galway.

Before joining Compliance Ireland in 2011, Joseph was managing director of an Employment Law and Human Resource management Training practice. From this, Joseph has extensive experience in all areas of Employee Relations, Industrial Relations, employee policies and procedures, disciplinary and grievance procedures and dealing with bullying, harassment and sexual harassment in the workplace.

Through his work with Compliance Ireland, Joseph has gained further expertise in Training and providing advice on the Consumer Protection Code, Minimum Competency Code, Ethics, Fit and Proper Regime, all areas of Corporate Governance as well as Anti-Money Laundering and Data Protection requirements for firms. He has advised firms on Enforcement proceedings as well as providing guidance to entities on PRISM. Joseph also has considerable experience in the authorisation process for MiFID firms, Insurance Undertakings, Insurance Intermediaries, FX Brokerages and Payment Service Institutions.

Joseph has also spoken extensively at industry conferences and has lectured for a number of professional bodies.

Employment Experience

October 2011 - Present: Head Regulatory Trainer and Consultant for Compliance Ireland

Courses Trained both Public and In-house 2011-2012

- Anti-Money Laundering and Counter Terrorist Financing
- Central Bank Inspections and Enforcement
- Code of Conduct on Mortgage Arrears
- Complaints Handling and Treating Customers Fairly
- Consumer Protection Code 2012
- Data Protection and How to Conduct a Data Protection Audit
- Dignity in the Workplace
- Directors Duties and Corporate Governance
- Ethics
- Implementing Fit & Proper for your Business
- Important Employment Law Issues and How to Address Them
- Introduction to Financial Services Regulation in Ireland
- Minimum Competency Code
- Prism Explained
- Risk Based Compliance Monitoring for Financial Institutions
- The Role of the Compliance Officer for Insurance Firms
- The Role of the Compliance Officer for Banks and Investment Firms
- Understanding Funds in Ireland

Compliance Consultancy:

I provide compliance consultancy in the following areas:

- Designing Compliance and Compliance Procedures Manuals including AML, MiFID, Consumer Protection Code, Fit and Proper, Minimum Competency Code, Employment Law Data Protection and Corporate Governance
- Develop systems and controls for compliance with all Regulations and Codes including Consumer Protection Code, MiFID, Minimum Competency Code, Fit and Proper and Corporate Governance Code
- Review Advertising to ensure compliance with the Consumer Protection Code
- Review and analyse existing compliance policies and procedures
- Undertake AML reviews to ensure systems and procedures comply with the Criminal Justice (Money Laundering and Terrorist Financing) Act 2010
- Review Regulated Firms current authorisation and licence in order to advise on new products and services.
- Provide advice identifying suspicious transactions and escalating and reporting suspicious transactions for the fund, banking, spread-betting, insurance and gaming industries.
- Design Content for E-Learning
- Undertake the authorisation process for MiFID firms, Insurance Undertakings, Insurance Intermediaries, FX Brokerages and Payment Service Institutions.
- Advising clients on Enforcement process and administrative sanctions.

Sept 2007 to September 2011 – Managing Director Company Matters Ltd

- Provide Training, Support and Advice on all areas of Employment Law Human Resource Management, Anti-Money Laundering and Data Protection Law. Advise and represent my clients in all areas of Employment Law including contentious and non-contentious matters.
- Recruitment and diagnosing staff needs
- Manage Succession Planning & Career Development.
- Training in Anti-Money Laundering and the Risk based approach
- Training in Data Protection Law

- Responsibility for employee safety, welfare, wellness and health
- Provide expert advice and guidance on the legal & HR implications of management decisions.
- Training and organization development: identifying development needs of employees and help them to an effective development of both operatives and management
- Responding accurately to client enquiries within an appropriate time frame and developing an action plan to make sure that their requirements are met.

Jun 2006 to - October 2011 Barrister at Law Irish Law Library

- Advising and litigating in commercial, criminal, employment and construction law cases
- Litigating Arbitration cases
- Advising on legislation and on procedural aspects of litigation
- Internal Investigating for Sexual Harassment and Harassment
- Drafting and preparing Safety Statements, Child Protection Policies and other statutorily required policies
- Instructing clients on practices surrounding dignity and bullying in the workplace
- Negotiating settlements and contracts on behalf of clients
- Drafting all manner of proceedings in civil/criminal litigation, drafting judicial review proceedings and Supreme Court proceedings, drafting written submissions in high court and Supreme Court actions.

EDUCATION

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| Sep 2009 to Aug 2010 | LLM in International Criminal Law –Mark 65% National University of Ireland, Galway, |
| June 2006 | Called to the Bar of Ireland. |
| May 2005 to Jun 2006 | Barrister at Law Degree (2.1) The Honourable Society of Kings Inns, Dublin, Ireland |
| Sep 1997 to Jun 2000 | Bachelor Civil Law (Honours) National University of Ireland, University College Cork |