



International Compliance Association
Excellence through Education

MAKE MORE OF EXCELLENCE THROUGH EDUCATION



ICA MEMBERSHIP





BE ALL YOU CAN BE

Welcome to the International Compliance Association

We at the ICA are all about commitment. We are committed to helping you be all you can be in your professional career. We are committed to you and your ongoing development and we are committed to raising standards of professionalism throughout firms and financial centres around the world. We believe in transferring knowledge and skills so that you can continue to face the challenges of today and tomorrow. We believe in the power of networks and the global community and it's our aim to provide you with as many opportunities to realise your career ambitions.

Our professional qualifications are a good starting point. The ongoing relationship we have with University of Manchester Business School ensures we continue to offer academically rigorous qualifications. We are delighted to work with

authorised training providers across the world including International Compliance Training who have regional offices in Dubai, Singapore and the UK. All authorised training providers adopt an approach to the learning process that reinforces all that ICA believes in – excellence, high-standards, innovation and integrity.

Being a member of the ICA is a mark of excellence. It demonstrates a level of achievement and is a reward for your hard work. Easily recognisable, the designation 'MICA' (Member of the ICA), is a way of illustrating your commitment to professionalism. Being part of the ICA marks an exciting new chapter in your development. We will continue to work in partnership with you, supporting you and offering guidance, helping you to be all you can be.

A handwritten signature in black ink that reads "William B. Howarth". The signature is written in a cursive, flowing style.

Bill Howarth
International Compliance Association CEO

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ICA

THE INTERNATIONAL COMPLIANCE ASSOCIATION - YOUR PROFESSIONAL

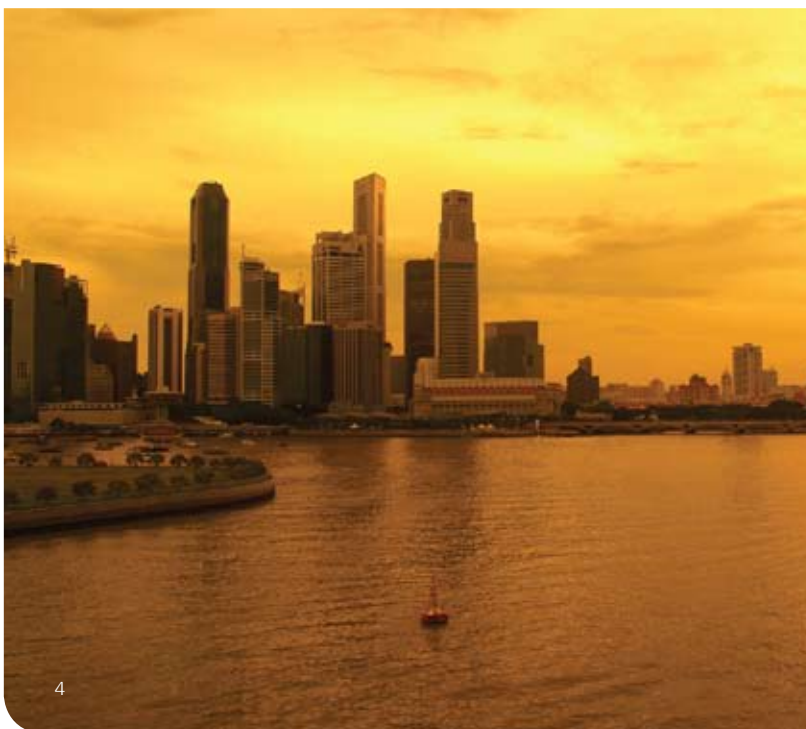
Founded in 2001, the ICA is a professional awarding body with a global membership. Its position in the world today is because of its members. We have thousands of members all over the world. They represent a diverse range of divisions within the financial services sector as well as other industries, such as telecommunications, gaming, media, legal, accountancy, securities and petro-chemical.

The ICA is a not for profit organisation. Subscription fees are invested into the development of initiatives that support the continuing training and education needs of our members. This helps fund our activities in the pursuit of the professionalism of compliance with regulators and other stakeholders around the world. We invest in the development of networks and form partnerships with other like-minded organisations, creating a global community that believes in best practice in the management of regulatory risk.

ICA is dedicated to the pursuit of excellence in compliance, anti money laundering and financial crime prevention. Being a member of the ICA means you accept and actively practice our Code of Ethics. The ICA leads by example and has established a corporate governance structure which consists of:

- **Board of Advisors**
- **Executive Committee**
- **Education and Test Board**
- **Member's Assembly**

The ICA has regional branches in Singapore and in Dubai. In addition, we work with local compliance associations around the world in order to bring knowledge and guidance to practitioners wherever they are in the world. Ongoing development is important to the ICA and we are increasing the number of opportunities where members can access best practice initiatives in order to further their understanding.



partner



Board of Advisors

The ICA Board of Advisors is made up of academics and representatives from industry who believe in the pursuit of best practice in the management of regulatory risk and compliance. Drawn from a variety of sectors and backgrounds, these advisors undertake to evaluate the work of the ICA in the pursuit of its overarching objectives. The Board help sets the agenda for the year ahead taking into consideration the constantly shifting external environment. It always has the interests of ICA members in mind and continues to put forward initiatives so that the ICA can continue to deliver on its mission.

Executive Committee

The Executive Committee is responsible for the day-to-day running of the ICA. Chaired by the ICA CEO, the Committee implements policy and procedures as guided by the Education and Test Board, the Board of Advisors and Member's Assembly. The Committee meets bi-monthly subject to quorum rules.

Education and Test Board

The Education and Test Board undertakes a fundamental role in ensuring the integrity of the examination system and procedures. The Board is vitally important in assessing and maintaining ongoing quality assurance of the Associations' qualifications. The Board consists of representatives from:

- University of Manchester Business School
- Professional bodies
- International Compliance Association

In addition, the Chief Examiner, invited examiners and teaching staff attend the Test Board.

Member's Assembly

The Member's Assembly is an annual forum for ICA members. It is an opportunity to review the activities that the ICA has undertaken over the last year and to hear about the plans for the future. Senior representatives of the ICA Executive Committee are in attendance and it's a great opportunity for members to ask questions, put forward views and have a say on the activities of the ICA. All of the work the ICA undertakes is centred on the pursuit of excellence in compliance practice, focusing on training and education in particular.

In addition to the open forums, industry speakers are invited to give updates on key issues affecting practitioners today. The purpose of the Member's Assembly is to enhance knowledge, network with fellow members and to meet ICA staff.

THE ICA IN NUMBERS

- 52 THE NUMBER OF COUNTRIES IN WHICH THE ICA HAS MEMBERS
- 55 THE NUMBER OF DIFFERENT INDUSTRIES THAT ICA MEMBERS COME FROM
- 50% THE SPLIT OF ICA MEMBERS BETWEEN THE SEXES
- 39% THE NUMBER OF ICA MEMBERS WHO COME FROM THE BANKING SECTOR
- 10% THE NUMBER OF ICA MEMBERS WHO COME FROM THE PUBLIC SECTOR

ICA OBJECTIVES

Here at the ICA our aim is to:

- Promote greater understanding of the benefits of best compliance, anti money laundering and financial crime prevention practice.
- Advance knowledge and learning in the fields of compliance, anti money laundering and financial crime prevention practice.
- Establish and maintain standards for professionals through education, training and examination programmes.
- Develop the skills, expertise and standing of compliance, anti money laundering and financial crime prevention professionals.
- Undertake research and to make representation of a technical, strictly non-political nature to regulatory and governmental bodies and other agencies in order to promote greater understanding of the benefits of good compliance, anti money laundering and financial crime prevention practice.
- Provide a forum for members to develop professional and working relationships within the industry and with related professions and organisations.
- Promote courses, conferences and meetings as a mechanism to discuss, exchange information and enhance understanding of international issues in the field.
- Maintain and promote the ICA Code of Ethics by encouraging business to be conducted with integrity, diligence and professionalism.

QUALIFICATIONS

COMPETENCE AND RECOGNITION



AS A MEMBER of the ICA you can use the letters 'MICA' after your name, which stands for Member of the International Compliance Association. Recognised throughout professional sectors all around the world, these 4 letters demonstrate achievement, knowledge and professionalism.



AFTER FIVE YEARS OF PROFESSIONAL MEMBERSHIP and having continued to develop your education, you can apply for Fellowship status and will be entitled to use the designation 'FICA'. This is a mark of excellence. It is the highest grade of membership of the ICA and is awarded for the ultimate in professionalism. Being a Fellow of the ICA means you are an advocate of best practice in the management of compliance and risk and that you aspire to positively influence others in the same way.



MANY ICA MEMBERS have found that completing an ICA professional qualification and becoming a member of the association has increased their earning power. Many employers see candidates who have the ICA qualification as offering something significant. Practical experience is very important to prospective employers. Practical experience and an ICA qualification is an even better proposition!

ICA CODE OF ETHICS

As professionals working in the management of regulatory risk, ICA members (and registered students) throughout the world have a duty to observe the highest standards of conduct and integrity, and to uphold the good standing and reputation of the profession they represent. They must also refrain from any conduct which might discredit the compliance profession. Members and students must have regard to these guidelines irrespective of their field of activity, of their contract of employment or of any other professional memberships they may hold.

Good ethical behaviour may be more than what is required by law and it is something we encourage all ICA members to aspire to - be all you can be. As a member of the ICA, you agree to abide by the ICA Code of Ethics. This has been designed with the purpose of upholding the professionalism of good compliance practice.

The fundamental principles are:

- **Integrity** - a compliance professional should be clear-cut, transparent and truthful in all professional and business relationships.
- **Objectivity** - a compliance professional should not allow bias, conflict of interest or undue influence of others to override professional or business judgments.
- **Professional Competence** - a compliance professional has a continuing duty to maintain professional knowledge and skill at the level required to ensure they can undertake their duties in a responsible and effective manner. They have a duty of care to provide competent professional service which takes into account all current developments in practice, legislation and techniques. A compliance professional should act attentively and in accordance with applicable technical and professional standards when providing professional services.
- **Confidentiality** - a compliance professional should respect the confidentiality of information acquired as a result of professional and business relationships and should not disclose any such information to third parties without proper and specific authority unless there is a legal or professional right or duty to disclose.
- **Professional Behaviour** - a compliance professional should comply with relevant laws and regulations and should avoid any action that discredits the profession. Where possible they should encourage professional behaviours in others.

Members of the International Compliance Association shall abide by the following Code of Ethics:

- Conduct business utilising the highest levels of integrity, diligence and professionalism.
- Seek to protect the financial and professional services sector from exposure to the proceeds of crime by avoiding involvement in arrangements concerning property derived from crime or property which may be used to fund crime including acts of terrorism.
- At all times, maintain a high level of awareness of the regulatory compliance requirements in force in the jurisdictions in which they work and strive towards full compliance therewith.
- Wherever possible and without unduly compromising the duty of confidentiality owed to clients, co-operate with domestic and international regulatory and enforcement bodies.
- Work towards enhancing the level of competence and the depth of knowledge of compliance, anti money laundering and financial crime prevention professionals globally.



ICA MEMBERSHIP

Being a member of the ICA is a mark of prestige. It says you have reached a standard of excellence in your professional career. It is earned through achieving exacting professional qualifications and making a personal commitment to ongoing development, high standards of competence and integrity throughout your career.

THE ICA OFFERS FOUR TYPES OF MEMBERSHIP:

- **Associate**
- **Professional**
- **Fellow**
- **Corporate**

Associate Membership

When you enrol onto an ICA Diploma you become an Associate Member of the ICA. You are immediately welcomed into a community of like-minded professionals who believe in the benefits of professional education as a mark of excellence. An Associate Membership fee of £25 is payable to the ICA when you enrol onto an ICA Diploma.

As an Associate member you are provided with access to the ICA online databases of information. This includes up to the minute news feeds, a resource centre, knowledge bank, discussion forums, useful links and discounted access to events and publications. You will receive your personal copy of inCOMPLIANCE the quarterly journal of the ICA which details thought-provoking comment and analysis of the potential impact of some of the major regulatory initiatives currently affecting the compliance community. You will also receive newsletters from the ICA detailing activities and developments that the Association undertakes in pursuit of its objectives.

Professional Membership

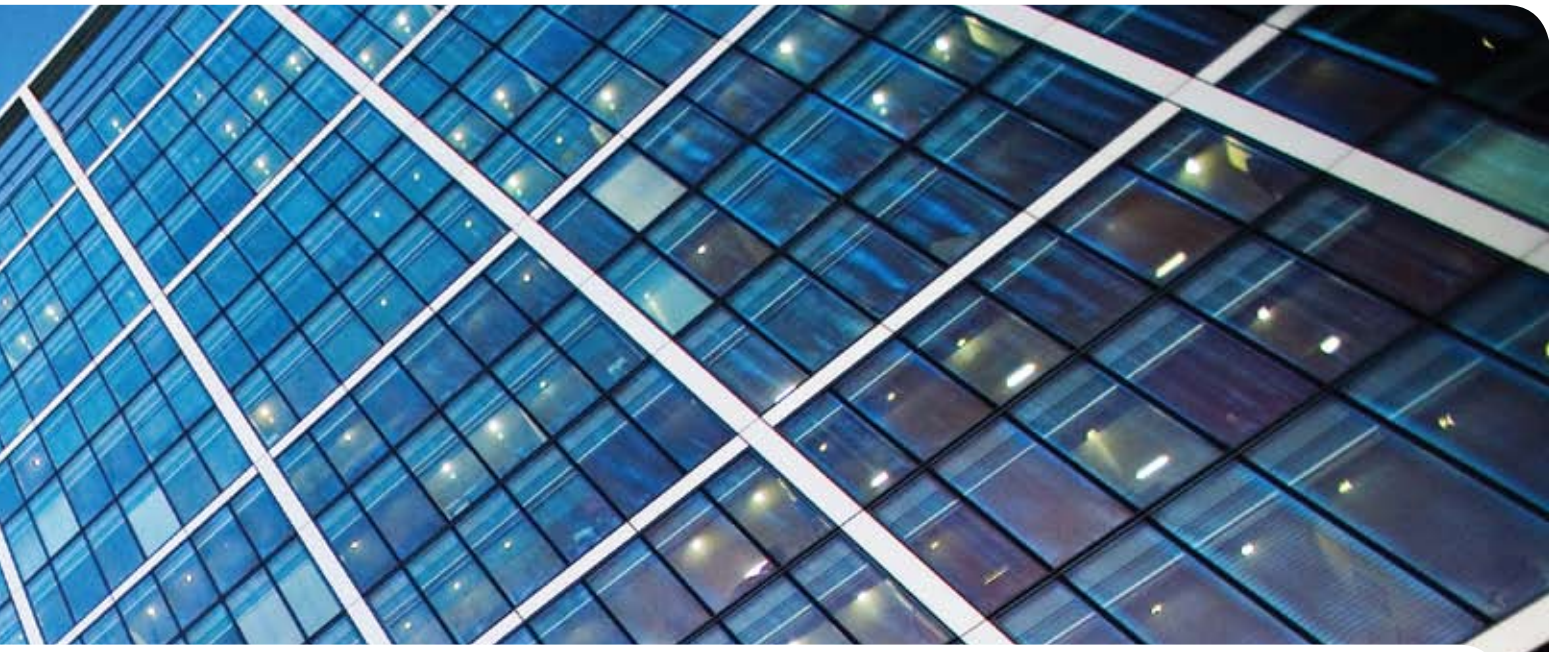
Professional Membership can be achieved through two routes:

- **Examination Route**
- **Experienced Practitioner Route**

The Examination route is available to individuals who have successfully completed an ICA Diploma.

The Experienced Practitioner route is available to senior compliance, anti money laundering and financial crime prevention professionals who possess 10 years practical experience at a senior level in an appropriate discipline. In addition applicants must be currently employed at a senior level within a relevant field. You will need to be able to provide evidence of competence at a senior level by providing a body of work for review. Such work might constitute articles, published reports, details of case studies you have worked on and references. As part of your application you will need to supply references attesting to your good character and personal integrity and you will be asked to satisfy an ICA panel by way of an interview.

Aside from all the benefits you have enjoyed as an Associate Member during your studies, as a Professional Member you will benefit from using the initials 'MICA' – Member of the International Compliance Association. In addition, you will receive your personal copy of inCOMPLIANCE. You will also be entitled to attend four events or access four designated on-line seminars on current topics per year, each designed to provide you with an insight in key issues affecting you and your firm as well as a great opportunity to network with fellow ICA members.



Fellowship Membership

As a Fellow of the ICA you are entitled to use the designation ‘FICA’ – Fellow of the International Compliance Association. This is the highest grade of membership that the ICA offers and is the ultimate mark of professionalism. You are eligible to apply for Fellowship status after completing 5 years as an ICA Professional Member. You will continue to enjoy all the benefits of Professional Membership.

Corporate Membership

Corporate Membership of the ICA is for firms who want to demonstrate that they take the practice of the management of regulatory risk seriously. In order to be eligible for Corporate Membership at least one of your employees must be an ICA Professional Member.

Corporate Members are able to demonstrate their commitment to professionalism by displaying the ICA corporate logo on their literature and website. In addition Corporate Members get access to the Careers Zone in order to post job vacancies to a very targeted audience, have access to the online resource centre and are also included in the Member’s Directory.

Membership Benefits at a Glance

Member Type	Associate	Professional	Fellow	Corporate
ICA Online Resource Centre	•	•	•	•
inCOMPLIANCE Quarterly Journal	•	•	•	
ICA Newsletter	•	•	•	
Discussion Forum	•	•	•	•
Networking Events		•	•	
Career Zone	•	•	•	•
Discounts on relevant industry events	•	•	•	•
Use of Designation		•	•	
ICA logo				•
Members Assembly	•	•	•	
Membership Directory Listing	•	•	•	•

All members of the ICA (Associate, Professional, Fellow, Corporate), must agree to abide by the ICA Code of Ethics.

REASONS TO BECOME A MEMBER OF THE ICA

- 1 Right to use the **designation** appropriate to your status, MICA or FICA
- 2 Access to ICA's comprehensive **on-line resource centre** of information including up to the minute news-feeds, a knowledge bank that includes details of rules and regulations for a significant number of jurisdictions, white papers, articles, reports, commentary and analysis
- 3 Access to an **on-line discussion forum**
- 4 Access to the online **member's directory**. Got a question about a regulation in a country with which you wish to do business? Get in touch with an ICA member from that country and seek their opinion. Members find this network of contacts to be invaluable as they undertake their responsibilities
- 5 Attendance at four network **events**
- 6 inCOMPLIANCE, the **quarterly journal** of the ICA, full of thought leadership pieces that will help shape your approach to your role
- 7 **Discounts**. As a member of the ICA you can benefit from discounts on relevant industry events
- 8 Access to the ICA **member's assembly**, your chance to help contribute to the agenda of the ICA for the year ahead
- 9 Access to ICA **careers zone**, where you can search for jobs, or advertise jobs to a very specific targeted community
- 10 Regular **updates** via e-alerts, which you can customise to your own specific interests and your personal copy of the ICA newsletter

ONGOING DEVELOPMENT - INVESTING IN PROFESSIONAL EXCELLENCE

The ICA is committed to life-long learning and in supporting you throughout your career in your chosen discipline. A crucial aspect of the role of ICA professionals is to be up-to-date with current trends, topics, laws and regulations. We believe that continued professional development (CPD) is essential to your ongoing improvement as a professional and to the progression of the industry as a whole.

The ICA has teamed up with a number of organisations with whom you can continue your training in order to acquire CPD. These providers have been selected on the basis that the

training and education they provide is of such a standard that it merits accreditation by the ICA. It is recognised as being wholly appropriate for developing knowledge and skills required for your ongoing education.

Categories

The ICA stipulates that a minimum of 15 hours of CPD must be completed each year in order to remain in membership. We have identified a number of approved activities that qualify for ICA CPD and these are detailed below. CPD records can be submitted online at the time of your renewal.

Category	Evidence	Maximum credits per category
Qualification studies All qualifications awarded by the ICA or business related qualifications awarded by government recognised education institutions	A copy of your qualifications certificate or a letter of attendance signed by your course tutor	35
Conferences and exhibitions <ul style="list-style-type: none"> • Attendance at ICA CPD badged events that run throughout the year • Attendance at relevant industry conferences, meetings, seminars or similar events • Attendance at webinars 	A certificate of attendance from the ICA or event organiser or where relevant your booking confirmation with details of the event itself. Note: for half day events the maximum number of CPD credits awarded is 3.5, for full day events, it is 7. Webinars qualify for 1 hour of CPD credit only	10
Short training courses, workshops or online learning	A certificate of attendance or a signed letter of attendance from your course tutor	10
In-company training <ul style="list-style-type: none"> • Training undertaken as part of a planned, in-company development scheme • Promotion and appraisal – recognition will be given for your development within an organisation for which up to 10 hours may be claimed • Project work – company specific projects to recognise the interaction between the management of regulatory risk and other business disciplines in support of the organisation's strategy 	A certificate of achievement or a letter from your employer outlining the projects / initiatives / training in which you were involved	10
Imparting knowledge <ul style="list-style-type: none"> • Teaching anti money laundering, compliance or financial crime or associated courses in-house to your own team or externally • Writing on anti money laundering, compliance or financial crime or associated disciplines for books, articles, opinions or reports for publication 	A letter from the organisation for which you undertook the training. Copies of articles, books, journals, papers	10
Mentoring Mentoring / coaching others to allow for the effective dissemination of knowledge	A letter from the individual being mentored or from the educational establishment	10
Contribution to the community <ul style="list-style-type: none"> • Participation in industry committees and groups • Job related committees outside of your own organisation, e.g. trade association activities 	A copy of the minutes or a letter / email confirmation from the organisers	10
Private study Private study involves learning new skills and or improving business performance and knowledge <ul style="list-style-type: none"> • Online research including information extracted from the ICA database • Learning new job related skills • Reading compliance and risk related publications including inCOMPLIANCE 	Where applicable, evidence by noting source, date and documenting the relevance of the information obtained	5

A Global Community

We want to welcome you to the ICA. Being part of our global community means you are actively contributing to the promotion of good compliance practice. It says that, like ICA, you believe in the value of partnerships and all that can be gained from them. You commit to share and disseminate your knowledge so that others too can be all they can be.

Networking Events

Everyone will testify to the value that can be gained from networking. We at the ICA believe there are many benefits from establishing connections. To that end we organise a number of events per year that are open to ICA members. Each is designed to concentrate on a key issue of topical relevance so that it can be better understood to enable you to fulfil your roles with confidence. They provide a good opportunity to bring people together so they can share experiences and benefit from each other. The events enable people to put faces to names and consolidate those connections. Wherever you are in the world, the ICA will ensure you have opportunities to network with your local colleagues and peers. The ICA will work with local partners in a wide range of jurisdictions to bring you these events which we hope you will take part in. More information about the events will be on the ICA website and will be advertised through the ICA newsletter.

Membership Fees

Full details of membership fees can be found on the ICA website at www.int-comp.org

How to Apply

If you would like to become an ICA Member then simply contact our Membership Services division to request an application form. Once you have joined, we will continue to support you as you progress through your career. Our dedicated Membership Services team will keep you informed of ICA developments and be able to help you with any CPD queries you may have. They will be able to help guide you through the website and make sure you are getting the most out of your membership benefits.

Contact Us

For ICA membership contact:

Tel: + 44 (0)121 362 7747 Fax: + 44 (0)121 240 3002

E-mail: ica@int-comp.org Web: www.int-comp.org



BEING



International Compliance Association
Excellence through Education



TOGETHER



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Excellence through Education

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