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ANTI-MONEY LAUNDERING (AML) SERIES

PART 1



Learning Hours:
4.5 Hours (7 Series)



Fees:
MYR 550 (fee is not inclusive of 6% SST)



CPE Points Earned:
10 CPE Points

Learn **ONLINE** and fulfil your **CPE** points anytime, anywhere!

EXPERIENCE SIDC'S AML SERIES ONLINE

- Case study simulations of AMLA cases in Malaysia
- Access to downloadable acts, guidelines and checklists
- Guided by recommended learning hours for you to plan your learning-time efficiently
- AMLA Series with "Knowledge Check" assessments at the end of each module
- User friendly and lightweight learning Contents-Improved level of interaction between user and courseware comprising infographics, audio clips and downloadable media

ABOUT ANTI-MONEY LAUNDERING (AML) SERIES

Money laundering is a potential indicator of terrorist funding and other global crimes, making it necessary for practical training on AML. This is the first part of online AML training comprising 7 series and is intended to lay down the foundations of AML principles, requirements and expectations prescribed by the Anti-Money Laundering, Anti-Terrorism Financing and Proceeds of Unlawful Activities Act 2001 (AMLA) and the relevant guidelines issued by Securities Commission Malaysia. Each series is interspersed with short assessments to ensure effective learning on the part of each participant.

LEARNING OUTCOMES

Upon completion of the AML Series - Part 1, participants will be able to apply prescribed practices and procedures to ensure mitigation or detection of possible incidences of money laundering and terrorism financing (ML/TF).

ICF COMPETENCY LEVEL

- Foundational (Regulatory) – FOR01 Anti-Money Laundering (Proficiency Level 3), FOR02 Capital Market Institutions (Proficiency Level 3)
- Functional (Process Skills) – FUP14 Know Your Client (Proficiency Level 3) and FUP05 Data and Records Management (Proficiency Level 3)

WHO SHOULD REGISTER?

Designed for those who perform or undertake functions relevant to AML/CFT functions, mainly:

- Employees in front-office functions such as Dealer's Representatives, Derivatives Representatives, Portfolio Managers, Sales and Marketing Executives and Employees of Registered Persons
- Compliance functions
- Internal/external audit functions
- Risk management functions; and
- Employees of regulatory and enforcement agencies

WHAT WILL YOU LEARN?

AML Series 1: Essentials of Anti- Money Laundering & Terrorism Financing

Outline

- What is Money Laundering?
- Why Launder Money?
- What is Terrorism Financing?
- Money Laundering vs. Terrorism Financing

Objectives

By the end of this series you will be able to:

- Identify processes and steps to prevent money laundering activities
- Outline the processes to detect and report potential money laundering transactions
- Recognise the importance of preventing money laundering and terrorism financing activities
- Outline the different types of money laundering activities in the capital market industry
- Knowledge Check (Quiz)

Recommended Learning Hours: 40 minutes
(Short Assessment: 10 minutes)

AML Series 2: Malaysian AML/CFT Regulatory Framework

Outline

- International Standards on AML/CFT Regime
- AML/CFT Regime in Malaysia
- The Office of Money Laundering & Terrorism Financing (ML/TF)
- Guidelines – The Securities Commission Requirements
- General Principles & Policies to Combat ML/TF
- Knowledge Check (Quiz)

Objectives

By the end of this series you will be able to:

- Identify the laws and regulations related to anti-money laundering
- Recognise the importance of preventing money laundering and terrorism financing activities

Recommended Learning Hours: 40 minutes
(Short Assessment: 10 minutes)

AML Series 3: Know Your Customer (KYC)

Outline

- What is Know Your Customer (KYC)?
- The Importance of KYC
- KYC Obligations
- Data Protection Under KYC

Objectives

By the end of this series you will be able to:

- Identify the process to verify the information provided by clients
- Monitor and update client's information and transactions continuously
- Conduct fact-finding to obtain sufficient information about clients
- Knowledge Check (Quiz)

Recommended Learning Hours: 40 minutes
(Short Assessment: 10 minutes)

AML Series 4: Customer Due Diligence (CDD)

Outline

- What is Customer Due Diligence (CDD)?
- Customer Identification
- Politically Exposed Persons (PEPs)
- Screening Client's Name
- Customer Risk Profiling
- Managing Risk Through Enhanced CDD (ECDD)
- Ongoing CDD
- Knowledge Check (Quiz)

Objectives

By the end of this series you will be able to:

- Gather information and/or documents for the due diligence process within given timelines
- Review and verify the validity of information and/or statements gathered for accuracy and sufficiency
- Document and present due diligence findings for preparation and submission
- Perform customer / counterparty due diligence to assess the risk of conducting business with the client
- Conduct due diligence to verify client information with the relevant authorities

Recommended Learning Hours: 40 minutes
(Short Assessment: 10 minutes)

AML Series 5: Managing Suspicious Transactions

Outline

- What are Suspicious Transactions?
- Classifications of Suspicious Transactions
- Suspicious Transactions Report (STR)
- Submission of STR
- Knowledge Check (Quiz)

Objectives

By the end of this series you will be able to:

- Perform customer / counterparty due diligence to assess the risk of conducting business with the client
- Recognise suspicious transactions as defined by AML laws and regulations
- Detect and report potential suspicious transactions in accordance with AML procedures

Recommended Learning Hours: 40 minutes
(Short Assessment: 10 minutes)

AML Series 6: Understanding & Application of Risk Based Approach (RBA)

Outline

- Risk Assessment
- Risk-Based Approach (RBA)
 - Business-based Risk Assessment (BbRA)
 - Relationship-based Risk Assessment (RbRA) documentation of the RBA Process
- Knowledge Check (Quiz)

Objectives

By the end of this series you will be able to:

- Conduct fact-finding to obtain sufficient information about clients
- Conduct due diligence to verify client information with relevant authorities
- Assess a client's risk profile based on available information
- Adopt the risk-based approach to manage and mitigate potential money laundering activities

Recommended Learning Hours: 40 minutes
(Short Assessment: 10 minutes)

AML Series 7: Retention of Records

Outline

- Record Keeping Obligations
- Time Frame for Keeping Records
- Overall Objectives of Keeping Records
- Knowledge Check (Quiz)

Objectives

By the end of this series you will be able to:

- Identify the purposes for which data will be processed and kept as records
- Collect, retain and use data in accordance with existing legal requirements and procedures
- Establish the purposes for which data will be processed and kept as records based on business and legal needs

Recommended Learning Hours: 30 minutes
(Short Assessment: 10 minutes)

Visit www.sidc.com.my and Register for **SIDC's AML Series Now!**



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* The SIDC reserves the right to amend the programme as deemed appropriate as without prior notice.

For enquiries on registration, please contact **+603 6204 8439 / 8274** | Register today at **www.sidc.com.my**