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# ANTI-MONEY LAUNDERING (AML) SERIES

## PART 2

CASE STUDIES



**Learning Hours:**  
3 Hours (2 Case Studies)



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



**SIDCeLEARN**

**HRD CORP REGISTERED COURSE /  
PROGRAMME NO: 10001178380**

# Learn Anti-Money Laundering (AML Series) - Part 2 Case Studies ONLINE and fulfil your CPE points anytime, anywhere!

Learning and development made simpler and more interactive.

## About SIDC's AML Series – Part 2 Case Studies: Lessons on AMLA from a Capital Market Perspective

Money laundering is a potential indicator of terrorist funding and other global crimes, making it necessary for practical training on AML. This is the second part of the online AML series comprising 2 case studies and is intended provide practical insights on AML principles, regulation 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 of each participant.

The 2 mini cases are based on real-life cases to enable participants to recognise and understand regulatory expectations, relevant issues, obligations and prescribed penalties in the prevention of money laundering and terrorism financing from a practical capital market related perspective.

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## Learning Outcomes

Upon completion of the AML Series – Part 2 Case Studies, participants will be able to undertake prescribed practices and procedures to ensure mitigation or detection of possible incidences of money laundering and terrorism financing (ML/TF). Additionally, participants should be able to develop and implement policies, procedures and controls consistent with AML laws and regulations by adopting the risk-based approach to manage and mitigate potential money laundering activities.

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## Who Should Register?

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

- Employees in front-office functions such as Heads of Dealing, 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

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## Competency Level

### Foundational (Regulatory):

- FOR01 Anti-Money Laundering (Proficiency Level 3)
- FOR02 Capital Market Institutions (Proficiency Level 3)
- FOR04 Capital Market Products Regulation (Proficiency Level 3)

### Functional (Process Skills):

- FUP14 Know Your Client (Proficiency Level 3)
- FUP05 Data and Records Management (Proficiency Level 3)

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## AML Series Mini Case 1:

### Failures of The Gatekeepers (A Case study of Akira (M) Sdn. Bhd.)

Recommended Learning Hours: 1.5 hours (including Short Assessment: 20 minutes)

This case was prepared by SIDC as a basis for seminar discussions rather than to illustrate effective or ineffective handling of a business situation.

#### Outline

- Case synopsis
- Background
- The Scenario (SC's Findings on Transactions & Response from Akira)
- Knowledge Check (Quiz)
- Consequences of Failures at Akira

#### What Will You Learn From This Mini Case?

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

- Recognise suspicious transactions as defined by AML laws and regulations
- Detect and report potential suspicious transactions in accordance with AML procedures
- Conduct enhanced due diligence process for higher-risk clients
- Develop and implement policies, procedures and controls consistent with AML laws and regulations

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## AML Series Mini Case 2:

### Beyond a Box Ticking Exercise (A Case study of Cressida Securities)

Recommended Learning Hours: 1.5 hours (including Short Assessment: 20 minutes)

This case was prepared by SIDC as a basis for seminar discussions rather than to illustrate effective or ineffective handling of a business situation.

#### Outline

- Case Synopsis
- Company Background
- SC's Findings on Transactions
- Administrative Action by the SC
- Knowledge Check (Quiz)
- Reference - Relevant SC Guidelines

#### What Will You Learn From This Mini Case?

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

- Analyse and make informed decisions based on due diligence findings
- Conduct enhanced due diligence process for higher-risk clients
- Define the scope for due diligence taking into consideration and addressing any concerns relating to the corporate proposal
- Establish internal procedures to capture client's information while safeguarding confidentiality
- Develop and implement policies, procedures and controls consistent with AML laws and regulations

## Experience SIDC'S AML Series - Part 2 Case Studies Online

In SIDC's AML Series – Part 2 Case Studies, you will go 'beyond a box ticking exercise' where the "undercover money laundering investigator" needs your help in his/her investigation. Carefully undertake the assignments provided (and trust us they are tough!) by the undercover investigator and once completed, you would have proven your ability in the following areas:

- Develop and implement policies, procedures and controls consistent with AML laws and regulations
- Develop and implement a company-wide training programme related to AML laws, regulations and practices in a timely manner
- Establish an internal procedure to capture client's information while safeguarding confidentiality
- Conduct enhanced due diligence process for higher-risk clients
- Define the scope for due diligence taking into consideration and addressing any concerns relating to the corporate proposal

**REGISTER NOW**

For enquiries and more information regarding this programme, please contact us:

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Register today at [www.sidc.com.my](http://www.sidc.com.my)



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