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ANTI-MONEY LAUNDERING (AML) SERIES

FUNDAMENTALS



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PROGRAMME OVERVIEW

Money laundering is a potential indicator of terrorist funding and other global crimes, making it necessary for practical training on AML. This online AML training comprises 8 modules 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 reinforce participants' understanding and support effective learning.

PROGRAMME OBJECTIVE

This programme is designed to enhance participants' ability to detect, prevent, and mitigate the risks associated with money laundering, terrorism financing and proliferation financing. Through interactive learning, real-world case studies and regulatory insights, participants will develop the necessary competencies to implement effective AML compliance measures within their organisations.

LEARNING OUTCOMES

By the end of this programme, participants will be able to:

- identify the process of money laundering and terrorism financing activities, its modus operandi and abuse of financial institutions, while also highlighting different types of money laundering activities in the capital market.
- recognise the laws and regulations related to anti-money laundering and counter financing of terrorism (AML/CFT).
- describe the importance of customer due diligence (CDD) and enhanced due diligence (ECDD) practices.
- describe the money mule activities and illegal financial schemes by recognising red flags and the appropriate reporting channels.
- describe the significance of beneficial ownership and transparency in financial transactions.
- recognise suspicious transactions and report them in compliance with legal requirements.
- describe the risk-based approach to manage and mitigate potential money laundering activities.
- explain the record retention policies and regulatory reporting standards.

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COMPETENCY LEVEL

- Foundational (Regulatory)- Anti-Money Laundering (Proficiency Level 3)
 - Foundational (Regulatory)- Capital Market Institutions (Proficiency Level 3)
 - Functional (Process Skills)- Know Your Client (Proficiency Level 3)
 - Functional (Process Skills)- Data and Records Management (Proficiency Level 3)
 - Functional (Process Skills)- Compliance (Proficiency Level 3)
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MODULES

Module 1: Essentials of Money Laundering, Terrorism Financing and Proliferation Financing

Module 2: The Malaysian Regulatory Framework

Module 3: Customer Due Diligence (CDD)

Module 4: Money Mule and Illegal Financial Schemes (IFS)

Module 5: Understanding Beneficial Ownership

Module 6: Guidance on Managing Suspicious Transactions

Module 7: Application of Risk Based Approach

Module 8: Complying with Retention of Records

METHODOLOGY

Interactive online learning, real-world case studies, and regulatory insights.

TARGET AUDIENCE

New hires, new capital market entrants, professionals seeking foundational knowledge on AMLA, employees in front-office functions, Dealer's Representatives, Derivatives Representatives, Portfolio Managers, Sales and Marketing Executives, Employees of Registered Persons, Compliance Officers, Internal/External Audit Officers, Risk management Officers, employees from the regulatory and enforcement agencies.

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PROGRAMME OUTLINE

Module 1: Essentials of Money Laundering, Terrorism Financing and Proliferation Financing

Essentials of Money Laundering, Terrorism Financing, and Proliferation Financing is the first module of the Anti-Money Laundering (AML) Fundamentals programme. This module provides participants with a clear and concise overview of how money laundering, terrorism financing and proliferation financing are conducted **including** the various forms of **money laundering activities specific to the capital market**. It also explores how **financial institutions** particularly those in the capital market can be **exploited** for illicit purposes.

The module comprises 7 topics:

- What is Money Laundering : Why Do Criminals “Clean” Their Money?
 - The Stages in Money Laundering
 - Money Laundering in Capital Markets
 - Common Red Flags in Money Laundering
 - The Risks and Vulnerabilities of Money Laundering in the Securities Sector
 - Introduction to Terrorism Financing
 - Introduction to Proliferation Financing and Dual-Use Goods
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Module 2: The Malaysian AML/CFT Regulatory Framework

Module 2 is designed to provide a comprehensive understanding of the regulatory framework, guidelines and governance structures related to Anti-Money Laundering and Counter Financing of Terrorism (AML/CFT). It examines how these frameworks operate and align at both national and international levels.

The module comprises 5 topics:

- Introduction to AML/CFT Frameworks and Governance
 - BNM Policy Document on AML/CFT and TFS for Financial Institutions
 - Financial Action Task Force (FATF) 40 Recommendations
 - The Guidelines on Prevention of ML/TF/PF for Reporting Institutions in the Capital Market
 - AML/CFT Regimes in Malaysia (National and International Level)
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Module 3: Customer Due Diligence (CDD)

In Module 3, participants will **gain understanding of the importance of Customer Due Diligence (CDD) and Enhanced Due Diligence (ECDD)** processes required of the Reporting Institutions (RIs). The module will highlight how these procedures are critical in assessing prospective clients and the risks of money laundering and terrorism financing.

The module comprises 4 topics:

- Know Your Customer (KYC): Why it Matters
- Understanding Customer Due Diligence (CDD)
- Enhanced Due Diligence (ECDD)
- Non-Compliance to CDD/ECDD

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PROGRAMME OUTLINE

Module 4: Money Mule and Illegal Financial Schemes (IFS)

Module 4 is designed to provide participants with understanding of money mule activities and illegal financial schemes. Through real case studies, the module will explore how **red flags** are identified and the appropriate **reporting channels** applied to ensure effective responses to suspicious activities.

The module comprises 3 topics:

- What is Money Mule?
 - What are Illegal Financial Schemes (IFS)?
 - National Scam Response
 - Case Study
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Module 5: Understanding Beneficial Ownership

Module 5 is designed to provide participants with understanding of the significance of beneficial ownership and transparency in financial transactions. It will highlight the importance of beneficial ownership in the context of AML/CFT compliance and the **appropriate methods in verifying beneficial owners**.

The module comprises 3 topics:

- What is Beneficial Owner?
 - The Importance of Beneficial Owner Identification
 - Identification of Beneficial Owners and Method
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Module 6: Guidance on Managing Suspicious Transactions

This module is designed to provide participants with understanding of how **suspicious transactions are detected** in accordance with AML/CFT legal and regulatory requirements. It also highlights the proper **procedures and reporting obligations** to the relevant authorities.

The module comprises 4 topics:

- What are Suspicious Transactions
- Common Red Flags or Suspicious Transactions
- Reporting of Suspicious Transaction
- Reporting Protection and Tipping-off Obligations

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PROGRAMME OUTLINE

Module 7: Application of Risk Based Approach

Module 7 is designed to provide participants with understanding of the risk-based approach in managing and mitigating potential money laundering activities. It will highlight the key components of the approach taken and how it is applied to **assess money laundering and terrorism financing risks**.

The module comprises 4 topics:

- What is Risk Based Approach (RBA)?
 - Key Points in Risk Based Approach (RBA)
 - Objective of Risk Based Approach (RBA)
 - Malaysia National Risk Assessment (NRA) on ML/TF/PF
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Module 8: Complying with Retention of Records

This module is designed to provide participants with understanding of the **importance of record retention** in meeting the regulatory reporting standards. It will highlight the types of records that must be maintained and the potential **penalties for non-compliance**.

The module comprises 4 topics:

- The Regulatory Requirements Under AMLA 2001
- Standard Information to be Maintained for Record Keeping and Retention
- Importance of Record-Keeping and Retention of Record
- Penalties for Non-Compliance Under AMLA 2001

Experience SIDC's Anti-Money Laundering (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
- Concise learning objective for each 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

REGISTER NOW

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

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