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HRD CORP REGISTERED  
COURSE/PROGRAMME NO:  
10001630187

# ANTI-MONEY LAUNDERING (AML) CASE STUDIES



Learning Hours:  
6 Hours (5 Case Studies)



CPE Points Earned:  
10 CPE Points



SIDCeLEARN

- Newly Updated Content
  - New Case Studies
- to Strengthen Your AML Awareness

# Learn Anti-Money Laundering Series ONLINE and fulfil your CPE points anytime, anywhere!

Learning and development made simpler and more interactive.

## PROGRAMME OVERVIEW

This e-learning programme presents a series of five real-world case studies that demonstrate the importance of effective compliance systems in the financial sector. Each case explores distinct themes such as regulatory breaches, gatekeeper responsibilities, financial fraud, and AML/CFT control failures. To support effective learning, the series includes short assessments that reinforce key concepts and encourage practical application. Through these scenarios, participants will gain actionable insights into the challenges of non-compliance and develop the skills needed to foster a strong compliance culture.

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## PROGRAMME OBJECTIVE

The objective of this programme is to develop participants' ability to detect, prevent, and mitigate risks related to money laundering, terrorism financing, and financial misconduct. By engaging with realistic case studies and regulatory insights, participants will build the competencies required to implement effective compliance measures, strengthen AML/CFT frameworks, and uphold regulatory integrity within their organizations.

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## LEARNING OUTCOMES

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

- Understand the foundational principles of compliance and its significance in the financial sector.
  - Recognize the consequences of weak compliance systems and poor compliance culture.
  - Apply regulatory guidelines to transaction processes and account management.
  - Appreciate the role of gatekeepers in maintaining compliance standards.
  - Identify and prevent financial fraud through vigilance and proper controls.
  - Strengthen AML/CFT practices to mitigate risks associated with complex structures and legal persons.
  - Embrace continuous improvement in compliance practices.
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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)
- 

## CASE STUDIES

[Case Study 1: The Rocky Road of Compliance](#)

[Case Study 2: Beyond a Box Ticking Exercise](#)

[Case Study 3: Failures of the Gatekeepers](#)

[Case Study 4: Unveiling Financial Fraud – A Deep Dive into 17 Charges](#)

[Case Study 5: Strengthening AML/CFT Practices in a Singapore-Based Financial Institutions](#)

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## METHODOLOGY

Interactive online learning featuring real-world case studies and regulatory insights

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## TARGET AUDIENCE

New hires, new capital market entrants, professionals seeking to enhance their understanding of compliance and AML/CFT practices, 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, and employees from regulatory and enforcement agencies.

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## PROGRAMME OUTLINE

### Case Study 1: The Rocky Road of Compliance

This case explores the consequences of weak compliance systems and poor compliance culture within financial institutions. It focuses on the Securities Commission Malaysia (SC) audit of MyTrust Investment Management Sendirian Berhad (MTIM – a fictitious company). The audit uncovered multiple compliance failures, including inadequate safeguards for clients' assets, insufficient policies to manage conflicts of interest, and a lack of effective internal controls by the Board of Directors. These findings underscore the potential risks to investors when compliance frameworks are not properly implemented.

The case comprises two main discussions:

- Non-Compliance to SC Guidelines
    - Skill, Care and Diligence
    - Supervision and Control
    - Conflict of Interest
    - Safeguarding Clients' Assets
    - Dealing with Regulators
    - Compliance Culture
  - Administrative Action by the SC
- 

### Case Study 2: Beyond a Box Ticking Exercise

This case highlights key compliance failures identified during the SC audit of Cressida Securities Berhad (CRESS – a fictitious company). The audit revealed lapses in client transaction procedures, including account opening, trading limit approvals, and suspicious transaction monitoring. It serves as a basis to explore the impact of weak compliance practices in licensed financial institutions.

Key Discussion Points:

- SC Findings on Transaction
  - CRESS Response to SC Audit Findings
  - Administrative Action by the SC
  - Provision for Legal Action
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### Case Study 3: Failures of the Gatekeepers

This case explores repeated compliance failures by Akira (Malaysia) Sendirian Berhad (a fictitious company), following audits conducted by the SC. Despite earlier penalties, Akira continued to breach regulatory guidelines, including those related to anti-money laundering and terrorism financing. The case raises critical questions about the effectiveness of internal controls and the role of the Board of Directors in preventing recurring non-compliance.

Key Discussion Points:

- Chronology of Transaction Violation
  - Akira's Review and Action Plan Following SC Audit Findings
  - Consequences of Failures at Akira
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## PROGRAMME OUTLINE

### Case Study 4: Unveiling Financial Fraud – A Deep Dive into 17 Charges

This case examines a high-profile financial misconduct involving Charles Chua Yi Fuan, a former Vice President at Hong Leong Investment Bank. Between 2017 and 2019, Chua exploited his position to deceive investors into subscribing to fictitious investment schemes, resulting in losses totaling RM1.73 million. The case highlights serious breaches of trust and regulatory standards, raising important questions about internal controls, ethical conduct, and investor protection in the financial industry.

Key Discussion Points:

- The Allegations Against Charles Chua
  - Investigations: Timeline of Events
  - Investors Impact and Legal Safeguards
  - Charges and Conviction
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### Case Study 5: Strengthening AML/CFT Practices in a Singapore-Based Financial Institutions

This case explores Singapore's proactive approach to combating transnational money laundering and terrorism financing risks. As a global financial hub, Singapore faces heightened exposure to illicit financial flows, often facilitated through legal entities like companies and trusts. In response, the Monetary Authority of Singapore (MAS) issued a guidance paper to help financial institutions strengthen their AML/CFT controls and better detect and mitigate these threats.

Key Discussion Points:

- Detecting and Mitigating AML/CFT Risks in Complex Structures
  - Enhancing CDD Effectiveness: Supervisory Observations
  - Enhancing AML/CFT Control & Supervisory Expectations
  - Strengthening AML/CFT Through Ongoing Monitoring
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- User friendly and lightweight learning Contents-Improved level of interaction between user and courseware comprising infographics, audio clips and downloadable media

**Protecting our financial  
system from money  
laundering and terrorism  
financing starts with you through  
knowledge, vigilance, and compliance.**

**REGISTER NOW**

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

**Farith Jamal** | +6014 653 2578 | Farith.Jamal@sidc.com.my

**Abdul Qaiyum** | +6017 871 3242 | Qaiyum.Ghazali@sidc.com.my

**Sarah Dalina** | +6011 2711 9658 | Sarah.Dalina@sidc.com.my

**Wan Mohd Farid** | +6012 641 7589 | FaridK@sidc.com.my

**Syed Imran** | +6017 743 0773 | imran.nasir@sidc.com.my

### Delivering Professional Service



**Securities Industry Development Corporation** (765264K)  
3, Persiaran Bukit Kiara, Bukit Kiara, 50490 Kuala Lumpur, Malaysia  
Email: [sidc@sidc.com.my](mailto:sidc@sidc.com.my) Website: [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.