

## FINANCIAL CRIME COMPLIANCE

BEST PRACTICES FOR MINIMISING AND MANAGING FINANCIAL CRIME RISK IN THE FINANCIAL SERVICES SECTOR



DURATION

1-2 hours per  
micro-course



DELIVERY CHANNEL

eLearning



Micro-courses:

- 1 Customer Due Diligence
- 2 Anti-Money Laundering
- 3 Counter-Terrorist Financing
- 4 Financial Crime Awareness
- 5 Fraud Awareness
- 6 Financial Crime in Correspondent Banking
- 7 Trade-Based Money Laundering
- 8 Anti-Bribery and Corruption
- 9 Sanctions
- 10 Preventing and Detecting Tax Evasion

### OVERVIEW & BENEFITS

Financial institutions must be prepared to adapt to and navigate the continually evolving compliance landscape. Moody's Analytics' Financial Crime Compliance programme is essential for anyone seeking to develop an understanding—or refresh their knowledge—of the skills, techniques, and challenges involved in identifying and managing financial crime risk.

The programme includes a suite of 10 micro-courses, each of which introduces a unique concept, and provides practical guidelines for taking effective action and making risk-aware decisions on the job.

It begins by exploring three critical topics: customer due diligence, anti-money laundering, and counter-terrorist financing. Participants then learn about the financial crime risk associated with correspondent banking product and services, and examine the high-risk characteristics of offshore financial centres, international business corporations, and shell banks. Finally, participants learn practical steps to take to detect and prevent bribery, corruption, and tax evasion risks, and build an understanding of their responsibilities around sanctions screening and reporting.

Each micro-course contains targeted training rich in real-life examples and practice exercises, equipping participants with skills and knowledge that they can immediately apply to improve the customer experience, increase compliance with regulatory requirements, and protect the organisation.

### LEARNING OBJECTIVE

Develop knowledge of due diligence procedures, money laundering, counter-terrorist financing, fraud, sanctions, bribery, and corruption, and apply practical skills to identify and minimise financial crime risks.

### COMPETENCIES GAINED

- Recognise responsibilities in relation to identifying and managing financial crime risks.
- Perform due diligence to support the assessment of a customer's creditworthiness.
- Use independent sources to investigate and verify customer information.
- Detect, address, and prevent money-laundering, terrorist financing, and fraudulent activity.
- Identify the high-risk characteristics of offshore financial centres, international business corporations, and shell banks.
- Recognise responsibilities with regard to detecting and preventing tax evasion.
- Understand anti-bribery laws and regulations and identify potential warning signs of bribery and corruption.

### TARGET AUDIENCE

Financial Crime Compliance is suitable for anyone involved in managing client relationship and handling client transactions, including relationship managers, compliance officers, risk managers, portfolio managers, finance officers, and operations officers.

Contact us for more information at: [elearning@moodys.com](mailto:elearning@moodys.com)

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MICRO-COURSES	
1	<p><b>Customer Due Diligence</b></p> <p>This micro-course teaches participants how to verify client identity and determine whether a business is legitimate. It explores the importance of the customer due diligence rule and describes the business account opening process and disclosure requirements, as well as techniques for identifying red flags in transaction processing.</p>
2	<p><b>Anti-Money Laundering</b></p> <p>This micro-course teaches participants how to identify and mitigate money laundering risks. It introduces the three stages of money laundering, as well as the money laundering mechanisms that criminals commonly use and the techniques for identifying them.</p>
3	<p><b>Counter-Terrorist Financing</b></p> <p>This micro-course explores terrorist financing and the mechanisms of terrorist financing and discusses a risk-based approach to counter-terrorist financing, introducing practical strategies that will help support a robust compliance program.</p>
4	<p><b>Financial Crime Awareness</b></p> <p>In this micro-course, participants learn how to effectively identify the types of financial crime risk that their organisation faces. They explore the regulations that guide the organisation's efforts to identify and manage financial crime risks and learn practical steps to take to minimise these risks.</p>
5	<p><b>Fraud Awareness</b></p> <p>In this micro-course, participants learn how to effectively identify the types of fraud risk that their organisation faces. They also learn how to minimise and prevent fraud risk.</p>
6	<p><b>Financial Crime in Correspondent Banking</b></p> <p>This micro-course explains why correspondent banking carries an increased risk of money laundering and terrorist financing. It explores common correspondent banking products and services and their high-risk characteristics. It also introduces the three pillars of a sound financial crime prevention program.</p>
7	<p><b>Trade-Based Money Laundering</b></p> <p>This micro-course explains why trade finance carries an increased risk of money laundering. It explores the red flags associated with common money laundering techniques and teaches participants how to identify and monitor them.</p>
8	<p><b>Anti-Bribery and Corruption</b></p> <p>The international community is committed to countering bribery and corruption and punishing those who engage in it. This micro-course explains how to tackle bribery and corruption using practical systems and controls.</p>
9	<p><b>Sanctions</b></p> <p>Various financial institutions have been subject to regulatory fines due to sanctions breaches. In this micro-course, participants learn about the importance of sanctions laws and their responsibilities with regard to sanctions screening and reporting.</p>
10	<p><b>Preventing and Detecting Tax Evasion</b></p> <p>This micro-course introduces participants to the concept of tax evasion and the global regulatory body tasked with fighting tax evasion. It explores individual employees' responsibilities and the steps that organisations can take to detect and prevent tax evasion.</p>