

# AML/CFT TRAINING THE THIRD PILLAR

**EDUCATE YOUR TEAM ON LATEST  
REGULATORY COMPLIANCE**

## **AML / CFT TRAINING FOR ALL LEVELS**

Board of Directors  
Senior Management  
Customer Facing Executives  
Compliance Program Team  
Backend Officers & Staff  
Finance Industry Aspirants

## **TRAINING TOPICS**

AML Basics  
Money laundering methods  
Customer Due Diligence  
Sanctions Screening  
Recognizing Red Flags  
Beneficial Ownership  
International Standards  
Regional Regulations  
Beneficial Ownership  
Policies & Procedures  
AML Compliance Program  
OFAC SCP  
Regulatory Reporting  
& much more.....



**BANKS LOSE CRORES IN FINES  
DUE TO LACK OF  
COMPLIANCE KNOW-HOW**

**RBI IMPOSED FINES IN RANGE OF 3 Cr - 5 Cr TO  
FIs FOR AML/KYC NON COMPLIANCE AND  
NEGLIGENCE SINCE 2018.**

# AML TRAINING MODULES

## **MODULE - 1 RISKS AND METHODS OF MONEY LAUNDERING AND TERRORIST FINANCING**

- *Understanding the Term “Money Laundering”*
  - *Introduction to Financial and Non-Financial Institutions.*
  - *International Trade Activity*
  - *Overview of Terrorist Financing*
  - *Corporate Vehicles Used to Facilitate Illicit Finance*
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## **MODULE - 2 INTERNATIONAL AML/CFT STANDARDS**

- *Introduction to Financial Action Task Force*
  - *FATF-Style Regional Bodies (FSRBs)*
  - *Introduction and understanding of The Basel Committee*
  - *Key U.S. Legislative and Regulatory Initiatives Applied to Transactions Internationally*
  - *Key International Initiatives*
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## **MODULE - 3 AML/CFT COMPLIANCE PROGRAMS**

- *Assessment of Anti Money Laundering/Counter-Terrorist Financing Risk*
  - *Training for Anti Money Laundering/Counter-Terrorist Financing Program*
  - *Introduction to Economic Sanctions*
  - *Know Your Customer/Know Your Employee Norms*
  - *PEP and Beneficial Ownership*
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## **MODULE - 4 BASIC AML COMPLIANCE OPERATIONS IN A TYPICAL FINANCIAL INSTITUTION**

- *Overview on Transaction Monitoring/ Sanctions Screening/Watchlists*
- *Investigations by Financial Institutions*
- *Events triggering Suspicious Transaction/Activity reporting*
- *Risk-based approach for KYC - CDD & EDD*
- *STR Decision Making Process*
- *AML/CFT Regulatory Compliance*



# AML / CFT / KYC

## COMPLIANCE TRAINING

VIPUL V TAMHANE MBA, LL.M, PMP, CAMS, IIBF (AML/CFT), CFE

### TRAINER'S PROFILE

**Risk Management:** Financial/Non-Financial Risk Management, Enterprise Operations, Infrastructure and Technology Risk Management, Financial Crime Risk, Credit and Market Risk, Alert & Case Management, Risk Regulatory Reporting, Compliance Implementation: AML/KYC Policy review and advisory, AML program assessment, Compliance implementation, FIU Reporting Support, Investigation enablement, Anti-Fraud Management, Monitoring system Automation.

**Anti-Money Laundering:** Transaction Monitoring, Trade Surveillance, Business Controls, Suspicious Activities Monitoring, FIU Reporting; SARs/STRs/CTRs/NTRs/CWBTs, CDD/EDD, Watch List Filtering, False Positive Management Customer Screening on PEP/ CTF/ KYC, OFAC SCP, SDNs & related Sanctions, FEMA Act of Money Laundering, FATCA, BSA and US Patriot Act.

**Financial Crime:** Fraud Risk Assessment, Misconduct Investigations, Operational and Commercial Due Diligence, Contract Compliance, Competitive Intelligence.

#### **Experience:**

20 years of Technology industry experience with sales and SME in Risk Management and Technology Advisory.

Key functional skills Financial Forensics, Fraud Detection and Analysis, Financial Forensics, Compliance Project Management, Internal Controls, Process Re-Engineering, Change Management and Compliance Technology Advisory.

Working with Financial Institutions in India, SEA, ME, EU-UK and USA for training and consulting of regional laws and regulations pertaining to government guidelines.

Train The Trainer Programs conducted for AML compliance with laws on Combating of Financing of Terrorism (CFT) with Risk Assessment, Transaction monitoring, Name Screening and Threat monitoring analytics, FIU Reporting, Red Flags, Policies and Procedures, Board of Directors consulting, MLRO Support and AML Compliance Program Audits.

With Academics majoring in International Business and International Commercial Law, Vipul brings legal and commercial line of thinking to his analysis and advisory.

Vipul has worked on subject matter catering to focus on areas of Regulatory & Compliance guidelines from SEC, FINRA, FINCEN, FCA, OFAC, FINMA, RBI / SEBI / IRDA and MSA. He has strong understanding of Financial Fraud (Retail, Corporate, Correspondent & Capital Market); and works with team of Financial Forensics and Internal controls for Fraud prevention, Policies and Processes reviews, Vendor screening, Investigations and Crisis management.