

# Anti-Money Laundering Course Offerings

## **Advanced Concepts in Anti-Money Laundering Compliance (eLIACA)**

Spells out the regulations issued by FINRA and the current obligations of financial institutions under the USA PATRIOT Act, and the red flags that require due diligence. Expands on fundamental anti-money laundering (AML) concepts.

## **AML for Insurance: Suspicious Activity Reports (79B)**

Defines the basic anti-money laundering (AML) components and provides the fundamentals of AML applicable to insurance companies and their licensees.

## **AML: Private Banking Accounts for Foreign Persons (3506)**

Provides an overview of anti-money laundering (AML) and AML regulation. Customer Identification Procedures (CIPs) and AML compliance programs are also discussed. Describes private banking accounts, including requirements, and factors involved in handling accounts for senior foreign political figures.

## **AML: Senior Foreign Political Figures Accounts (3507)**

Provides an overview of anti-money laundering (AML) and AML regulation. Explains the Bank Secrecy Act (BSA) and its focus on transaction reporting and monitoring. Discusses AML compliance programs and Customer Identification Procedures (CIPs). Provides extensive details regarding requirements and factors involved in handling accounts for senior foreign political figures.

## **Anti-Money Laundering Annual Update 2009 (35AU09)**

Provides an update on the anti-money laundering events that occurred during the 2008 calendar year.

## **Anti-Money Laundering Fundamentals (717)**

Provides a basic overview of the definitions, fundamentals and requirements of Anti-Money Laundering.

## **Anti-Money Laundering for the Futures Industry (35C)**

Provides an overview of regulations and developments that affect the efforts of non-registered personnel to avoid terrorist financing and money laundering. Concludes with a series of case studies that illustrate the importance of education and vigilance in the prevention of money laundering.



## **Anti-Money Laundering for Insurance, Second Edition (79\_2)**

Discusses the threat that money laundering poses to the integrity of the financial system, our country's security, and how life insurance companies must comply with the USA PATRIOT Act. Also discusses the role of various regulatory agencies responsible for anti-money laundering (AML); and describes the penalties and sanctions for non-compliance with AML laws and regulations.

## **Anti-Money Laundering Practices for Institutional Clients (35INST\_A)**

Addresses the Anti-Money Laundering (AML) rules applicable to broker-dealers in serving the needs of institutional clients. Provides a brief statement and discussion of each applicable rule followed by a case study demonstrating its application to a hypothetical fact pattern.

## **Anti-Money Laundering Update for Non-Registered Personnel (35B)**

Provides an overview of regulations and developments that affect the efforts of non-registered personnel to avoid terrorist financing and money laundering. Concludes with a series of case studies that illustrate the importance of education and vigilance in the prevention of money laundering.

## **Bank Secrecy Act Reporting Requirements (3504\_2)**

Provides an overview of the various stages of money laundering, and explains Anti-Money Laundering (AML) regulation. Currency Transaction Reports (CTRs) and other transaction reports required under the Bank Secrecy Act (BSA) are discussed. Describes Suspicious Activity Reports (SARs) and activities, timing, requirements, and practical implications associated with them.

### **Currency Transaction Reporting (3502)**

Provides an overview of Anti-Money Laundering (AML) regulation and discusses the context for, and purpose of, Currency Transaction Reports (CTRs) and other AML reports. Outlines when a CTR must be filed and what cash deposits must be aggregated for CTR purposes. Reviews other required transaction reports, such as Reports of International Transportation of Currency or Monetary Instruments (CMIRs or Forms 4790), Reports of Foreign Bank and Financial Accounts, Reports of Cash Payments over \$10,000 Received in a Trade or Business (Forms 8300), and information required to be transmitted under the Joint and Travel Rules.

### **Customer Identification Procedures (3501)**

Delineates the important provisions of the Customer Identification Procedures (CIP) and what they mean to representatives, firms and their clients. Outlines what firm's CIPs must contain, when a customer's identity must be verified, who is a customer for purposes of CIPs, acceptable ways of verifying identity and what to do when it is not verifiable. Reviews recordkeeping requirements of identifying information obtained and consulting terrorist lists and other steps that may need to be taken.

### **Due Diligence Processes in the Prevention of Money Laundering (3509)**

The AML focus has expanded significantly post September 11, 2001 terrorist attacks on the United States. This material examines due diligence processes in the prevention of money laundering.

### **Fundamentals of AML for Non-registered Professionals (3503)**

An overview of money laundering, Currency Transaction Reports (CTRs) and other transaction reports required under the Bank Secrecy Act (BSA). Organizations involved in combating money laundering are also discussed. Describes Suspicious Activity Reports (SARs), anti-money laundering (AML) compliance programs, and Customer Identification Procedures (CIPs).

### **Fundamentals of Anti-Money Laundering for Registered Representatives (3505)**

Provides an overview of the various stages of money laundering and activities that constitute money laundering. Reports required under the Bank Secrecy Act (BSA), Currency Transaction Reports (CTRs), and other transaction reports are also discussed. Describes Suspicious Activity Reports (SARs) and activities, timing, requirements, and practical implications associated with them. Anti-money laundering (AML) programs and Customer Identification Procedures (CIPs) are also explained.

### **Money Laundering (eLIML)**

Provides in-depth coverage including information on anti-money laundering (AML) systems, evolving inter-governmental regulations, and recommendations forged by the Financial Action Task Force (FATF) on money laundering.

### **Preventing and Detecting Money Laundering, 2nd Edition (35\_2)**

Discusses issues raised by this scheme and potential "red flags." Tips on how to spot actual money laundering behavior and pointers for prevention of such behavior are provided. Additionally, items useful for compliance, monitoring, and education programs are highlighted.

### **Preventing and Detecting Money Laundering II: Case Studies, Second Edition (35A\_2)**

Analyzes the issues presented by various hypothetical scenarios to help registered representatives, supervisors, and other firm personnel better understand their duties and responsibilities in preventing and detecting attempts at using a broker-dealer for money laundering purposes. Examines the impact of suspicious activity reporting requirements on the referenced scenarios.

### **Recognizing and Responding to Red Flags (726)**

Centers around identifying red flags, stopping the current activity, reviewing the issue and taking the necessary steps to report red flag issues.

**For a complete list of AML course titles and descriptions please contact us at [sales@reged.com](mailto:sales@reged.com) or 800.334.8322 option #6.**