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ACCOUNTING AND FINANCE | AF-025

Anti-Financial Crime Compliance & Risk Management

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Course content

Why Attend

Financial crime presents significant regulatory, financial, operational, and reputational risks to organisations across banking, financial services, insurance, investment, corporate, and public sector environments. Money laundering, terrorist financing, fraud, bribery, corruption, sanctions evasion, and other forms of financial misconduct continue to evolve as criminal networks exploit complex transactions, cross-border activities, digital financial services, and weaknesses in organisational controls.

Effective anti-financial crime compliance requires more than meeting regulatory obligations. Organisations must establish risk-based frameworks that integrate governance, customer due diligence, transaction monitoring, sanctions screening, internal investigations, regulatory reporting, and continuous control improvement. These frameworks must be proportionate to the organisation's exposure and supported by clear accountability, reliable information, and effective escalation procedures.

The Anti-Financial Crime Compliance & Risk Management course provides compliance officers, risk managers, auditors, and financial services professionals with practical knowledge of financial crime threats and the systems used to prevent, detect, assess, and respond to suspicious activities.

Participants examine internationally recognised principles, including the Financial Action Task Force (FATF) Recommendations, alongside applicable anti-money laundering, counter-terrorist financing, anti-bribery, anti-corruption, and financial sanctions requirements. The programme emphasises risk assessment, customer and third-party due diligence, monitoring controls, investigative procedures, and regulatory compliance management.

Through practical case studies and simulations, participants develop the ability to identify financial crime vulnerabilities, evaluate control effectiveness, investigate warning indicators, and strengthen organisational resilience against financial misconduct.

Professional Problems This Course Is Designed to Solve

• Inadequate financial crime risk identification: Developing structured assessments of money laundering, terrorist financing, fraud, bribery, corruption, and sanctions-related exposure.

• Weak customer and third-party due diligence: Strengthening identity verification, beneficial ownership assessment, customer risk classification, and ongoing monitoring.

• Ineffective transaction monitoring: Improving the identification, review, and escalation of unusual transactions and potentially suspicious financial activity.



Course content

Why Attend

• Sanctions screening and compliance weaknesses: Establishing appropriate screening, alert review, escalation, and control procedures for applicable financial sanctions obligations.

• Fragmented compliance responsibilities: Defining governance structures, accountability, reporting lines, and coordination between compliance, risk, operations, and internal audit.

• Poor handling of financial crime alerts and investigations: Applying structured procedures for evidence preservation, case documentation, internal escalation, and legally required reporting.

• Difficulty demonstrating regulatory compliance: Developing monitoring programmes, compliance records, management reporting, training arrangements, and control effectiveness assessments.

Course Methodology

The programme combines instructor-led discussions, regulatory framework analysis, financial crime typology reviews, risk assessment workshops, due diligence simulations, transaction monitoring case studies, and compliance control evaluation exercises.

Participants examine realistic customer profiles, transaction patterns, third-party relationships, sanctions screening scenarios, and financial crime alerts. Practical activities focus on identifying red flags, assessing risk exposure, documenting investigations, evaluating internal controls, and developing proportionate compliance responses.

The training uses internationally recognised compliance principles while emphasising that specific legal obligations, reporting thresholds, and regulatory procedures must be applied according to the relevant jurisdiction.

Course Objectives

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

• Understand major financial crime threats and their implications for organisations

• Interpret key international anti-financial crime principles and applicable regulatory obligations

• Develop risk-based financial crime compliance frameworks



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Course Objectives

- Conduct enterprise-wide and business-specific financial crime risk assessments
- Apply customer due diligence and enhanced due diligence procedures
- Identify beneficial ownership, politically exposed person, and high-risk relationship concerns
- Evaluate transaction monitoring systems and investigate suspicious activity indicators
- Assess sanctions screening controls and escalation procedures
- Identify fraud, bribery, corruption, and third-party financial crime risks
- Apply appropriate financial crime investigation and case documentation techniques
- Establish compliance monitoring, testing, and management reporting arrangements
- Develop practical anti-financial crime risk mitigation and improvement plans

Target Audience

This course is suitable for:

- Anti-money laundering and financial crime compliance officers
- Compliance managers and compliance directors
- Money Laundering Reporting Officers and designated reporting professionals
- Enterprise risk managers and operational risk specialists
- Internal auditors and compliance assurance professionals
- Banking and financial services operations managers
- Fraud prevention and financial investigation specialists
- Sanctions compliance and transaction monitoring professionals
- Legal, governance, and regulatory affairs professionals
- Customer onboarding, due diligence, and third-party risk management specialists



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Target Competencies

Participants will develop competencies in:

• Financial crime risk identification and assessment

• Anti-money laundering and counter-terrorist financing compliance

• Risk-based compliance programme development

• Customer and enhanced due diligence

• Beneficial ownership and high-risk relationship assessment

• Transaction monitoring and suspicious activity detection

• Financial sanctions screening and escalation

• Fraud, bribery, and corruption risk management

• Financial crime investigation and documentation

• Compliance monitoring, reporting, and continuous improvement

Course outline

Day 1: Financial Crime Threats, Regulatory Frameworks and Compliance Governance

• Understanding the financial crime landscape, including money laundering, terrorist financing, proliferation financing, fraud, bribery, corruption, and sanctions evasion

• Examining the FATF Recommendations and the roles of national regulators, financial intelligence units, law enforcement authorities, and international standard-setting bodies

• Understanding money laundering methods, financial crime typologies, cross-border transaction risks, and vulnerabilities in traditional and digital financial services

• Establishing anti-financial crime governance structures, board oversight, senior management accountability, compliance responsibilities, and the three lines model

• Developing risk-based compliance policies, internal controls, staff training requirements, escalation procedures, and regulatory reporting arrangements



Course content

Course outline

• Practical workshop: Assessing an organisation's anti-financial crime governance framework and identifying priority compliance gaps

Day 2: Financial Crime Risk Assessment and Customer Due Diligence

• Developing enterprise-wide financial crime risk assessments covering customers, products, services, delivery channels, geographic exposure, and transaction characteristics

• Applying inherent risk, control effectiveness, and residual risk assessment methodologies to prioritise financial crime mitigation measures

• Establishing customer identification, verification, customer risk classification, and ongoing due diligence procedures

• Assessing beneficial ownership structures, politically exposed persons, complex corporate arrangements, and higher-risk business relationships

• Applying enhanced due diligence to high-risk customers, jurisdictions, transactions, and third-party relationships

• Practical exercise: Conducting customer and business relationship risk assessments using illustrative onboarding files, ownership information, and risk indicators

Day 3: Transaction Monitoring, Suspicious Activity and Financial Sanctions Compliance

• Understanding transaction monitoring principles, customer activity profiling, alert generation, and the identification of unusual financial behaviour

• Evaluating financial crime indicators involving structuring, rapid fund movements, unexplained third-party payments, unusual cross-border transfers, and inconsistent transaction activity

• Applying alert investigation procedures, case prioritisation, supporting evidence review, and escalation to designated compliance personnel

• Understanding suspicious activity reporting obligations, confidentiality requirements, record retention, and the importance of jurisdiction-specific reporting procedures

• Evaluating sanctions screening arrangements covering customer names, beneficial owners, counterparties, transactions, potential matches, and applicable sanctions restrictions



Course content

Course outline

• Case study: Reviewing transaction monitoring and sanctions screening alerts to determine risk significance, investigative actions, and appropriate escalation decisions

Day 4: Fraud, Bribery, Corruption and Financial Crime Investigations

• Identifying internal and external fraud risks involving payment manipulation, identity misuse, false documentation, procurement fraud, and employee misconduct

• Understanding bribery and corruption risks associated with third-party intermediaries, gifts and hospitality, conflicts of interest, facilitation payments, and high-risk transactions

• Evaluating preventive controls including segregation of duties, approval authorities, third-party due diligence, whistleblowing arrangements, and exception monitoring

• Applying structured financial crime investigation procedures covering allegation assessment, evidence collection, transaction reconstruction, and interview planning

• Managing investigation confidentiality, data protection, evidence integrity, internal reporting, and coordination with legal and regulatory stakeholders

• Practical workshop: Investigating a simulated financial crime case and preparing a documented findings report with control weaknesses and recommended corrective actions

Day 5: Compliance Monitoring, Emerging Risks and Anti-Financial Crime Programme Improvement

• Designing risk-based compliance monitoring and testing programmes to assess customer due diligence, transaction monitoring, sanctions screening, and reporting controls

• Developing anti-financial crime performance indicators covering alert quality, investigation timeliness, due diligence completion, control deficiencies, and remediation progress

• Evaluating the use of data analytics, artificial intelligence, and automation in financial crime detection while addressing model limitations, false positives, data quality, and human oversight

• Assessing emerging financial crime risks involving digital payments, virtual assets, complex ownership structures, cross-border activity, and evolving criminal techniques



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Course outline

• Developing compliance improvement roadmaps covering governance, policies, systems, staff capabilities, regulatory changes, and independent assurance

• Capstone exercise: Developing and presenting an Integrated Anti-Financial Crime Compliance and Risk Management Framework incorporating risk assessment, due diligence, monitoring controls, investigation procedures, governance responsibilities, and measurable improvement priorities



Seminar dates

Available seminar dates

Live dates and pricing for Anti-Financial Crime Compliance & Risk Management generated from the course details page.

Date	Location	Format	Fee
Dates on request	Venue on request	Classroom	**Contact us**

Live online option	Online delivery is available at €1,850.-.