

Anti-Money Laundering Refresher Course 2026

Course Outline and Provider Qualifications

This Anti-Money Laundering (AML) Course designed to equip you with the knowledge and skills necessary to detect and prevent financial crimes. This refresher course will guide you through key concepts, regulatory requirements, and practical strategies to help ensure compliance and protect the firm from risks associated with money laundering and other illicit activities.

- I. AML Foundations
 - a. Bank Secrecy Act
 - b. Counteracting the Financing of Terrorism
- II. Understanding AML
 - a. Money Laundering
 - i. What is it?
 - ii. How Does it Work?
 - 1. Placement
 - 2. Layering
 - 3. Integration
- III. AML Compliance Program
 - a. AML Compliance Program Requirements
 - b. Participation By Everyone
 - c. Customer Identification Program
 - d. Suspicious Activity Reporting (SAR)
 - e. SAR Requirements
 - f. SAR Data: Risk-Based Program
 - g. Sanctions Lists
 - i. FATF Black and Grey Lists
 - ii. OFAC Sanctions
 - iii. OFAC Case Discussion
 - h. Willful Blindness or Turning a Blind Eye
 - i. Individual Liability
 - j. Whistleblower Programs
- IV. Identifying Red Flags
 - a. Recognizing Suspicious Activity
 - b. Common Red Flags
 - c. Digital Assets
- V. Recent Developments
 - a. FinCEN Postpones New Investment Adviser Rule

EXCHANGE | ANALYTICS

- b. FinCEN Reminder On Relationship Scams
- c. FinCEN Issues SAR FAQs
- d. NFA Alert: Client Onboarding

VI. Case Study

VII. Assessment