

Fintelekt[®]



Workshop: Ensuring AML/CFT Compliance in Business

Trainer:



Pramod Khandelwal
Trainer, Fintelekt

Date: May 16, 2023

Time: 9.30 am to 5.00 pm

Venue: Aloft Kathmandu Thamel

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Workshop: Ensuring AML/CFT Compliance in Business

Trainer



Pramod Khandelwal
Trainer, Fintelekt

Pramod has over 40 years of corporate experience in banking and financial services, of which 20 years were with the State Bank of India. Pramod was the Chief Compliance Officer and Principal Officer in IndusInd Bank.

He is an expert in banking compliance requirements and KYC/AML regulations. He is associated as faculty at Fintelekt Advisory Services and the Indian Institute of Banking and Finance (IIBF) and is involved in providing advisory services to banks and financial technology (fintech) companies. He has authored several books for IIBF's programmes. Pramod has a B.Tech. (Hons.) from IIT, Kharagpur and a Diploma in Business Finance from CAIIB.

The workshop is relevant for branch managers, relationship managers, department heads, business compliance teams from banks.

Who Should Participate?

Benefits

The workshop is focused on providing busy and target-driven customer-facing business teams with the required understanding of AML/CFT and the tools at their disposal to detect and prevent ML/TF activity that potentially poses a risk to their organisation.

Accreditation and Recognition

Fintelekt's training programmes and content are reviewed and supported by the regulators in multiple countries. Our programmes are known for their quality and relevance to AML/CFT compliance, especially. Employees from a large number of organisations including banks, non-banking finance companies, insurance companies, mutual funds, money services businesses, and remittance houses have undergone Fintelekt's AML/CFT professional training over the years.

- National Framework
- Roles of FIU and Central bank/Supervisors

Workshop Coverage

Part 1: ML and TF Risks– Effects

- Global Framework
- The consequences of non-compliance

Part 2: Obligations of REs under AML Act

- Country specific regulatory framework
- Other related legal provisions
- Risk Based Approach

Part 3: Organisational framework for KYC-AML

- Roles of Designated Director/ Principal Officer
- Roles of AML Function
- Role of Processing Units
- Role of Branches/ Frontline

Part 4: KYC, CDD, Beneficial Ownership, PEPs and related concepts

- Customer Identification, Screening and Due Diligence
- Customer Acceptance Policy and Process

Part 5: Sanctions & Screening

- Overview and importance
 - Customer Risk Categorisation

Part 6: Identifying Suspicious Behaviour

- Detecting suspicious behaviour
- Red flag indicators
- Practical considerations

Part 7: Money Laundering and Terrorist Financing Modalities

Part 8: FIU reporting & types of reports

- Suspicious Transaction Reports (STR) – Basic Aspects
- Suspicious Transactions – Scope and Coverage
- Modalities of Transaction Monitoring – Manual and System based – Red Flag Indicators (RFI)
- Grounds of Suspicion and Background in STRs

Registration

Participation Fees

- Lunch and refreshments during the workshop are included in the fees.
- Payment to be made before start date of the programme. Fintelekt reserves the right to deny entry to the participant if payment has not been received before the start of the workshop.
- Cancellations are not allowed. Substitutions are welcome, but must be communicated by email at least three days before the workshop.

Cancellation

The training programme is subject to a minimum number of participants and may be cancelled by Fintelekt at its discretion, without liability, if this criterion is not met. In such instances, Fintelekt will offer the participants credit for a future programme, or a full refund.

If the workshop cannot take place due to a rise in the number of Covid-19 infections or due to government directives, it will be postponed and new dates will be announced. Fintelekt will retain the participation fees in a credit shell, which may be utilised by participants for the workshop on the revised date, or for any other Fintelekt training programme.

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To register, contact:

National Banking Institute Ltd.
Central Plaza, 6th Floor, NarayanChour,
Naxal, Kathmandu, Nepal.

T : +977 1 4415903, 4415905, 4436001

E: info@nbi.com.np

Fintelekt Advisory Services Pvt Ltd

Email: oliver@fintelekt.com

Tel / Viber / Whatsapp: +91 98231 88864 / +91 93700 78917

www.fintelekt.com

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