



## PRESENTS

### FUNDAMENTALS OF ANTI-FINANCIAL CRIMES

- Compliance (AML, CFT, Sanctions) Regulatory Requirements and International Best Practices on Surveillance, Monitoring, Investigations and Reporting



#### Background

This program is focused on the regulatory requirements that banks and financial institutions, including Nepalese institutions, must comply with in accordance with the various international requirements to combat money laundering, terrorism financing, sanctions and other financial crimes. These international requirements have been incorporated into Nepalese law on anti-money laundering and counter financing of terrorism pursuant to which the NRB has issued directives to Nepalese BFIs and Non-BFIs. Although the program is designed primarily for professionals in the banks and financial institutions field, non-banking professionals, such as lawyers, accountants, dealers of precious metals, real estate agents etc. also stand to benefit from this presentation.

Level (Low/Mid/ Senior/High)	Mid to Senior Level
Duration	One Day
Target Audience	Professionals will benefit from fundamentals of anti-financial crimes, investigations and due diligence methodologies, report writing guidance, issues surrounding implementation and maintenance of AML programs and will gain insights from real life examples and best practices to become better anti-financial crimes professionals.

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## Course Outline

<b>Program Takeaways</b>	<p>The presentation will focus on BFIs and Non-BFIs requirement for AML/CFT/Sanctions monitoring, investigations and reporting requirements under NRB/FIU directives. In order to engage in a thorough and productive session, the session will cover fundamentals of financial crimes, typologies, monitoring and surveillance, investigations and due diligence methodologies and regulatory report writing (STRs) and record keeping requirements.</p> <p>The speaker will utilize his experiences working in international correspondent banking, trade finance, wealth management and retail and business banking in the USA. The program participants will benefit from the skills and insights learned in this program to become better professionals by upgrading skills and cognitive models. The Nepalese anti-financial crimes compliance requirements are set to become more stringent in the near future as the focus now shifts to effective implementation of NRB/FIU directives to meet international requirements (specifically the FATF/APG mandates). We will look at some prominent global cases, trends in major financial institutions around the world and how the Nepali banks and financial institutions can effectively leverage technology to meet NRB and international standards and expectations.</p>
<b>Contents</b>	<p>Part I (2hrs)</p> <ul style="list-style-type: none"> <li>⇒ Introduction and setting up expectations of the program</li> <li>⇒ Fundamentals of AML/CFT/Sanctions and other financial crimes</li> <li>⇒ AML/CFT/Sanctions methods and typologies</li> <li>⇒ International developments and best practices</li> </ul> <p>Part II (2hrs)</p> <ul style="list-style-type: none"> <li>⇒ KYC, due diligence and risk based approach/risk rating</li> <li>⇒ Monitoring/surveillance, investigations and escalations</li> <li>⇒ Regulatory report writing (STR) and record keeping (defensive filing, noise vs signal)</li> <li>⇒ Technology component (system design, transactions profiling and case management systems)</li> <li>⇒ International Best practices</li> </ul> <p>Part III (2 hrs)</p> <ul style="list-style-type: none"> <li>⇒ Emerging regulatory trends</li> <li>⇒ Regulatory exams and enforcement</li> <li>⇒ International Trends and best practices</li> <li>⇒ Final Q &amp; A and discussions</li> </ul>
<b>Program Delivery</b>	<ul style="list-style-type: none"> <li>⇒ Lecture with power point presentation and other online resources</li> <li>⇒ Audience participation and discussions (through out the presentation)</li> <li>⇒ Q &amp; A</li> </ul>
<b>Date, Time &amp; Venue</b>	8th February 2019, (9:30am to 5:00pm), NBI Hall, Kathmandu.
<b>Facilitator</b>	<p>Mr. Surendra Thapa</p> <p>Mr. Thapa, Esq., CAMS is a highly experienced professional in the field of anti-financial crimes investigations and compliance. Since 2004, he has been helping international banks and US domestic banks comply with anti-financial crimes compliance requirements. Mr. Thapa is a Certified Anti Money Laundering Specialist and is a licensed attorney in the USA.</p>