

QUEST CE

2017 Anti-Money Laundering Course Catalog

Enclosed is a list of Quest CE's Anti-Money Laundering courses. If you are searching for Firm Element training courses, please [click here](#).

 **IMPORTANT!**

Before you begin, please read the following carefully. The enclosed listing features each course's **Code**, **Level**, and **Page #**. Each course 'Level' refers to it being a (1) beginner, (2) intermediate, or (3) advanced course. To view a full description of each course, click on the **page number or arrow icon (→)** provided to the right of each title.

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Code | Level | # Go

Catalog is Actionable. Click on the page numbers to view course descriptions.

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Search for specific words or phrases by pressing the **Control (Ctrl)** and **F** keys on your keyboard simultaneously.

AML Institutional - Understanding Your Compliance Obligations

Course Code	5477
Approximate Time	28
Number of Pages	30
Level	Beginner

This course is designed for registered representatives of institutional broker-dealers. The course begins with a review of basic anti-money laundering concepts and then shifts to the representative's role in preventing detecting and reporting suspicious activities that may point to illegal money laundering. The course concludes with a case study involving a US broker-dealer's AML failures relating to institutional customer accounts.

Topics

- *AML Background*
- *US Anti-Money Laundering laws*
- *Risk-Based AML Programs*
- *What is Money Laundering?*
- *Customer Identity Verification*
- *Documentary and Non-Documentary Verification*
- *Customer Due Diligence and Risk Assessment*
- *Detecting and reporting Red Flags*
- *Case Study*

Anti-Money Laundering and Red Flags for Institutional Clients

Course Code	3018
Approximate Time	20
Number of Pages	22
Level	Beginner

This course is intended for individuals that need a refresher course on the requirements to detect and prevent money laundering. Specifically, this course complies with the USA Patriot Act requirements for ongoing anti-money laundering training and provides individuals with a review of money laundering regulations and the organizations charged with enforcement. The course outlines the various money laundering stages and suspicious activities that can help personnel detect and prevent money laundering. Finally, the course outlines responsibilities for representatives dealing with institutional clients, focusing on knowing your customer information, verification, due diligence, and finally a case study identifying the importance of following rules and potential problems that may occur if AML procedures are not followed.

Topics

- *History of Anti-Money Laundering Regulations*
- *Historical Federal Legislation*
- *USA Patriot Act & New Red Flag Requirements*
- *What is Money Laundering?*
- *What is at Stake?*
- *Using the Office of Foreign Assets Control*
- *Responsibilities with Institutional Clients*

Anti-Money Laundering and Red Flags for Institutional Clients – Vol. 2

Course Code	6851
Approximate Time	55
Number of Pages	43
Level	Intermediate

This course is designed for registered representatives of institutional broker-dealers. The course begins with a review of basic anti-money laundering concepts, and then shifts to the representative’s role in preventing, detecting and reporting suspicious activities that may point to illegal money laundering. The course includes a case study based on a real-world example of Anti-Money Laundering failures relating to institutional customer accounts.

Topics

- *What is Money Laundering*
- *U.S. Anti-Money Laundering Efforts: Laws, Agencies, FINRA requirements*
- *Customer Identity Verification: Documentary and Non-Documentary*
- *Customer Due Diligence and Risk Assessment*
- *Detecting and Reporting Red Flags: Behavioral and Transactional Red Flags*
- *Investigating and Reporting Suspicious Activities*
- *Case Study*

Anti-Money Laundering and the Red Flag Rule

Course Code	63
Approximate Time	30
Number of Pages	66
Level	Beginner

This course is designed for institutional registered representatives, supervisors, and institutional sales representatives. The objective of this course is to raise the awareness of anti-money laundering regulations so that representatives have the knowledge to prevent and detect money laundering. This knowledge will help ensure that each representative and their employer do not become involved in investigations or scandals that could harm the company’s reputation or risk client relationships. After completing this course, representatives will have a better understanding of anti-money laundering regulations, including the Know Your Customer rule, as well as be able to better recognize suspicious activities to protect themselves from the consequences of being linked in any way to money-laundering activities.

Topics

- *Overview of Money Laundering*
- *Federal Legislation*
- *USA Patriot Act*
- *Red Flag Requirements*
- *What is Money Laundering?*
- *What’s at Stake?*
- *Using the Office of Foreign Assets Control)*
- *Suspicious Activity Reports (SARs)*



Search for specific words or phrases by pressing the **Control (Ctrl)** and **F** keys on your keyboard simultaneously.

Anti-Money Laundering Compliance Obligations for Retail Representatives

Course Code	5477
Approximate Time	15
Number of Pages	35
Level	Intermediate

This course is intended for retail representatives and provides an overview of broker-dealer AML program requirements, “red flags” and suspicious activities, as well as a registered representative’s role in detecting, preventing and reporting suspicious activity.

Topics

- *Definition and Criminalization of Money Laundering*
- *Developing and Testing an Anti-Money Laundering Program*
- *Customer Identification Procedures*
- *Detecting and Reporting Suspicious Activity*
- *Criminal Sanctions*

Anti-Money Laundering Considerations for Banks

Course Code	3019
Approximate Time	30
Number of Pages	49
Level	Intermediate

This course is designed for tellers, operational staff, compliance personnel and any other employee working directly or indirectly with the banking industry. This course provides basic background information on U.S. money-laundering laws and international anti-money laundering efforts. It also discusses actions bankers can take to better identify and manage risks associated with money laundering and terrorist financing. It is intended to provide a high-level discussion of concepts and issues.

Topics

- *Overview of Money Laundering*
- *The Bank Secrecy Act*
- *What Bankers Can Do to Help*
- *Monitoring Programs*
- *Types of Banking*
- *High-Risk Customers*
- *Money Laundering Red Flags*
- *Terrorist Financing Red Flags*
- *Reports and Records*

Anti-Money Laundering Detection and Prevention for Agents

Anti-Money Laundering for Agents

Course Code	4052
Approximate Time	32
Number of Pages	64
Level	Beginner

Course Code	3020
Approximate Time	26
Number of Pages	49
Level	Beginner

This course provides an overview of AML concepts tailored for producers. The focus of this course is on the need for front-line brokers and agents to have a better understanding of how money laundering works, as well as the risks and red flags they should be aware of in their role as producers.

Topics

- *The Stages of the Money Laundering Process*
- *Money Laundering and Terrorist Financing*
- *Agent's and Broker's Responsibilities*
- *Identifying Red Flags*
- *Customer Identity Verification Requirements*
- *Foreign Clients and Overseas Markets*
- *FinCEN OFAC and FATF*
- *Case Studies Relating to a Producer's Role in Detecting and Preventing Money Laundering in Daily Operations*

This course is intended for retail representatives, investment advisers, supervisors and/or any other financial service industry professional interested in learning about industry rules regarding anti-money laundering regulations. The objective of this course is to introduce agents to the federal laws and regulations that apply to money laundering, record keeping and reporting. The course discusses some red flags that may indicate potential money laundering activities, as well as the penalties that can be imposed for violating federal money laundering laws.

Topics

- *Overview of Money Laundering*
- *Awareness of AML Regulations*
- *Definition of Money Laundering*
- *How Money Laundering is Done*
- *Overview of Federal Efforts*
- *Federal Anti-Money Laundering Legislation*
- *Enhanced Customer Identification*
- *Additional Reporting Requirements*
- *Money Laundering Suspicious Activities*
- *Overview of Penalties*



Search for specific words or phrases by pressing the **Control (Ctrl)** and **F** keys on your keyboard simultaneously.

Anti-Money Laundering for Agents and Representatives: Overview, Detection and Prevention

Course Code	7788
Approximate Time	30
Number of Pages	31
Level	Beginner

This course is intended for producing agents and registered representatives and is also suited for investment advisors supervisors or any financial service industry professional needing a basic understanding of industry rules regarding anti-money laundering and how firms detect and prevent possible money laundering.

Topics

- *Overview of Money Laundering*
- *The Stages of the Money Laundering Process*
- *Overview of Federal AML Measures (BSA USA PATRIOT Act)*
- *FinCEN OFAC and FATF*
- *Agents' and Brokers' Responsibilities*
- *Customer Identity Verification Requirements*
- *Recognizing Money Laundering Red Flags*
- *Overview of Recent Penalties for AML Violation*

Anti-Money Laundering for Bank-Affiliated Broker-Dealer Representatives

Course Code	7483
Approximate Time	35
Number of Pages	27
Level	Beginner

This course is designed for registered representatives of broker-dealers affiliated with banks, credit unions or similar financial institutions. The course begins with a review of basic anti-money laundering concepts and then shifts to the representative's role in preventing, detecting and reporting suspicious activities that may point to illegal money laundering.

Topics

- *Money Laundering Overview*
- *AML Efforts*
- *Role of Banks and other Financial Institutions*
- *CIP Programs*
- *Customer Due Diligence and Risk Assessment*
- *Money Laundering Red Flags*
- *Reporting Suspicious Activities*
- *Willful Blindness*

Anti-Money Laundering for Broker Dealers

Course Code	3024
Approximate Time	30
Number of Pages	49
Level	Beginner

This course is intended for retail representatives, investment Advisers, supervisors and/or any other financial service industry professional interested in learning about industry rules regarding anti-money laundering regulations. The objective of this course is to introduce broker-dealer employees to the federal laws and regulations that apply to money laundering, record keeping and reporting. The course discusses some “red flags” that may indicate potential money laundering activities, as well as the penalties that can be imposed for violating federal money laundering laws.

Topics

- Overview of Money Laundering
- Awareness of AML Regulations
- Definition of Money Laundering
- How Money Laundering is Done
- Overview of Federal Efforts
- Federal Anti-Money Laundering Legislation
- Enhanced Customer Identification
- Additional Reporting Requirements
- Money Laundering Suspicious Activities
- Overview of Penalties

Anti-Money Laundering for Broker-Dealers – Vol. 2

Course Code	6846
Approximate Time	45
Number of Pages	35
Level	Intermediate

This course is designed for registered representatives of FINRA member broker-dealers. The course begins with actual cases involving FINRA member firms that took place in 2015 and the moves into a review of basic anti-money laundering concepts. The course then shifts to the representative’s role in preventing, detecting and reporting suspicious activities that may point to illegal money laundering, providing examples from actual cases of what happens when a firm fails to carry out its AML obligations.

Topics

- Real world AML cases from 2015
- Money laundering overview
- CIP programs
- Customer due diligence
- Case study example of due diligence failure
- Money laundering red flags
- Case study example of failure to detect, investigate and report suspicious activities



Search for specific words or phrases by pressing the **Control (Ctrl)** and **F** keys on your keyboard simultaneously.

Anti-Money Laundering for Financial Services Professionals

Course Code	1977
Approximate Time	35
Number of Pages	70
Level	Beginner

This course is intended for retail representatives, investment Advisers, supervisors and/or any other financial service industry professional interested in learning about industry rules regarding anti-money laundering regulations. This course examines anti-money laundering regulation in the broker-dealer industry, specifically focusing on the USA PATRIOT Act of 2001 and FINRA Rule 3011.

Topics

- *What is Money Laundering?*
- *The Scope of the Problem*
- *The Process of Money Laundering*
- *Money-Laundering Techniques*
- *Impact*
- *Documentary/Non-Documentary*
- *Potential Indicators of Suspicious Activity*
- *Filing Requirements*
- *Know your Customer*
- *Criminal and Civil Penalties*
- *CEO and CFO Responsibilities under SOX*

Anti-Money Laundering for Home Office Personnel

Course Code	3175
Approximate Time	30
Number of Pages	48
Level	Beginner

This course is intended for home office personnel, retail representatives, investment Advisers, supervisors and/or any other financial service industry professional interested in learning more about the industry rules and regulations regarding anti-money laundering. The objective of this course is to introduce home office employees to the federal laws and regulations that apply to money laundering record keeping and reporting.

Topics

- *Overview of Money Laundering*
- *Awareness of AML Regulations*
- *Definition of Money Laundering*
- *How Money Laundering is Done*
- *Overview of Federal Efforts*
- *Federal Anti-Money Laundering Legislation*
- *Enhanced Customer Identification*
- *Additional Reporting Requirements*
- *Money Laundering Suspicious Activities*
- *Overview of Penalties*



Anti-Money Laundering for Home Office Personnel - Vol. 2

Course Code	6931
Approximate Time	35
Number of Pages	27
Level	Beginner

This course is intended for home office personnel, retail representatives, investment advisors, supervisors or any financial service industry professional interested in learning more about the rules and regulations surrounding anti-money laundering. The objective of this course is to introduce home office employees to the federal laws and regulations that apply to money laundering, record keeping and reporting.

Topics

- Overview of Money Laundering
- Awareness of AML Regulations
- Definition of Money Laundering
- How Money Laundering is Done
- Overview of Federal Efforts
- Federal Anti-Money Laundering Legislation
- Enhanced Customer Identification
- Additional Reporting Requirements
- Money Laundering Suspicious Activities
- Overview of Penalties

Anti-Money Laundering for Municipal Securities Representatives

Course Code	3022
Approximate Time	27
Number of Pages	49
Level	Beginner

This course is intended for registered securities representatives and supervisors interested in learning more about the industry rules and regulations regarding anti-money laundering. Every municipal securities dealer must establish and implement an anti-money laundering compliance program designed to achieve and monitor ongoing compliance with the requirements of the Bank Secrecy Act 31 U.S.C. 5311 et seq. (BSA).

Topics

- Overview of Money Laundering
- Awareness of AML Regulations
- Definition of Money Laundering
- How Money Laundering is Done
- Overview of Federal Efforts
- Impact on your Broker Dealers and Clients
- Enhanced Customer Identification
- Additional Reporting Requirements
- Money Laundering Suspicious Activities
- Overview of Penalties



Search for specific words or phrases by pressing the **Control (Ctrl)** and **F** keys on your keyboard simultaneously.

Anti-Money Laundering for Supervisors

Course Code	7484
Approximate Time	30
Number of Pages	39
Level	Intermediate

This course provides an overview of money laundering, firms' obligations in creating an AML program, red flags of suspicious activity and the supervisor's role in detecting, preventing and reporting suspicious activity. Real-world examples of AML compliance failures will also be presented.

Topics

- *Review of AML Laws*
- *Adopting an Anti-Money Laundering Program*
- *Customer Identification Procedures*
- *Red Flags of Suspicious Activity*
- *After the Red Flag*
- *Monitoring, Investigating and Reporting Suspicious Activities*
- *Case Study: Repeated Failures of an AML Compliance Program*

Anti-Money Laundering for Wholesalers: Your Role in Detecting & Detering Money Laundering Activity

Course Code	7485
Approximate Time	13
Number of Pages	26
Level	Beginner

This course provides an overview of AML concepts tailored for wholesalers. The focus of this course is on the need for wholesalers to have a better understanding of what money laundering is, how it works, and the risks, red flags and reporting requirements they should be aware of in their role as a producer.

Topics

- *Definition and Examples of Money Laundering*
- *International Scope and Response*
- *FATF*
- *US Laws Regulations and Agencies*
- *FinCEN OFAC and BSA*
- *Customer Identity Verification Requirements*
- *Identifying Red Flags*
- *Wholesalers' Responsibilities*

Anti-Money Laundering Regulations and Ramifications

Course Code	3176
Approximate Time	27
Number of Pages	44
Level	Beginner

This course is intended for retail representatives, investment Advisers, supervisors and/or any other financial service industry professional interested in learning more about the industry rules and regulations surrounding anti-money laundering. The course discusses “red flags” that may indicate potential money laundering activities, as well as the penalties that can be imposed for violating federal money laundering laws.

Topics

- *Overview of Money Laundering*
- *How Money Laundering is Done*
- *What is Terrorist Financing?*
- *Curbing Money Laundering*
- *Federal Legislation*
- *USA Patriot Act*
- *Impact on your Company and Clients*
- *Enhanced Customer Identification*
- *Office of Foreign Asset Control*
- *Suspicious Activity Indicators to Consider*
- *Criminal & Civil Sanctions*

Anti-Money Laundering Regulations and Red Flag Requirements for the Investment Adviser

Course Code	3021
Approximate Time	16
Number of Pages	31
Level	Beginner

Anti-money laundering is the term used to describe the regulations that financial institutions must adhere to in order to prevent and report money laundering activities. In the wake of the September 11, 2001 terrorist attacks, additional focus has been placed on money-laundering activities, especially as they relate to the funding of terrorist groups. The objective of this course is to raise awareness of anti-money laundering regulations so that representatives have a better handle on how to prevent and detect money laundering. This knowledge will help ensure representatives and their employers do not become involved in investigations or scandals that could harm the individual's/company's reputation or risk client relationships.

Topics

- *Overview of Money Laundering*
- *Federal Legislation*
- *USA Patriot Act*
- *Red Flag Requirements*
- *What is Money Laundering?*
- *New Account Requirements*
- *Using the Office of Foreign Assets Control)*
- *Suspicious Behavior Checklist*
- *Currency Transaction Reports*
- *Suspicious Activity Reports (SARs)*



Search for specific words or phrases by pressing the **Control (Ctrl)** and **F** keys on your keyboard simultaneously.

Anti-Money Laundering: Customer Identification Programs and Red Flags

Course Code	5212
Approximate Time	10
Number of Pages	20
Level	Intermediate

This course covers requirements for a firm's Customer Identification Program, with emphasis on real-world context for application of a CIP. The course also discusses red flags that every representative should be aware of in their day-to-day dealings with customers and prospective customers and with accounts. The course concludes with case studies to illustrate the concepts covered in the text.

Topics

- *Money Laundering Overview*
- *BSA and AML Programs*
- *Overview of CIP Programs and their Required Elements*
- *Red Flags of Possible Money Laundering*
- *Case Studies*

Anti-Money Laundering: Customer Identification Programs Red Flags, Everyday Scenarios and Enforcement Cases

Course Code	7486
Approximate Time	30
Number of Pages	37
Level	Intermediate

This course provides a brief review of the basics of illegal money laundering and the legislative measures adopted to combat money laundering in the US. The course covers requirements for a firm's AML and CIP programs with emphasis on real-world context. The course also discusses red flags that every representative should be aware of in their day-to-day dealings with customers and prospective customers and with accounts. The course concludes with examples of enforcement cases that reinforce the concepts covered in the text.

Topics

- *Money Laundering Overview*
- *Overview of BSA and AML programs*
- *Overview of CIP Programs*
- *Red Flags of Possible Money Laundering*
- *Enforcement Cases*



Anti-Money Laundering: Review Everyday Scenarios and Enforcement Cases - Vol. 2

Course Code	6948
Approximate Time	30
Number of Pages	24
Level	Beginner

This course provides a brief refresher overview of AML programs before focusing on some examples of real-world scenarios representatives may encounter in their interactions with customers and prospective customers. The course continues its emphasis on real life application by presenting summaries of recent enforcement cases.

Topics

- Money Laundering Background
- Overview of AML and CIP Programs
- Red Flags of Possible Money Laundering
- Enforcement Case Studies

Anti-Money Laundering: Review Everyday Scenarios and Enforcement Cases

Course Code	5222
Approximate Time	20
Number of Pages	16
Level	Intermediate

This course provides a brief overview of AML programs before focusing on examples of real-world scenarios that representatives may encounter in their interactions with customers and prospective customers. The course continues its emphasis on real-life application by presenting summaries of actual recent enforcement cases.

Topics

- Money Laundering Overview
- Overview of AML and CIP Programs
- Overview of CIP Programs and their Required Elements
- Red Flags of Possible Money Laundering
- Enforcement Case Studies



Search for specific words or phrases by pressing the **Control (Ctrl)** and **F** keys on your keyboard simultaneously.

The Canadian Anti-Money Laundering and Anti-Terrorist Financing Regime

Course Code	6852
Approximate Time	35
Number of Pages	26
Level	Beginner

Money laundering facilitates corruption and can destabilize the economies of susceptible countries. It also compromises the integrity of legitimate financial systems and institutions, and gives organized crime the funds it needs to conduct further criminal activities. Technological advances in e-commerce, the global diversification of financial markets and new financial product developments provide further opportunities to launder illegal profit and obscure the money trail leading back to the underlying crime.

Topics

- *Methods*
- *Financing Terror*
- *Specific Measures*
- *FINTRAC*
- *Privacy*

Anti-Money Laundering can be added to any managed program or Firm Element Express account.

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