

ICA Specialist Certificate in Financial Crime Risk in Global Banking and Markets - Syllabus

Overview of Financial Crime Risk

- Market abuse, fraud and manipulation
- Money laundering
- Terrorist financing
- Tax evasion
- Bribery and corruption
- Sanctions

Customer Risk Typologies

- Designated non-financial businesses and professions (DNFBPs)
- Asset/fund managers, hedge funds, sovereign wealth funds
- Correspondent banking/banks
- Money service businesses
- Exchanges and broker-dealers
- Charities and non-profits
- Oil and gas, extractive industries
- Construction
- Telecoms
- Health and pharmaceutical

Financial Market Product and Service Risk Typologies

- Derivatives
- Foreign exchange
- Loans and syndicated loans
- Securities
- Trade finance
- Liquidity and cash management
- Mergers and acquisitions
- Commodities

Customer Due Diligence and The Customer Lifecycle

- Customer due diligence (CDD)
- Identification and verification (ID&V)
- Know your customer (KYC)
- Enhanced due diligence (EDD)
- Ongoing due diligence
- Risk approval and management

Conclusion