# AML & KYC in Investment Services Training Course

Professional Development Training Course Outline

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|---|---|---|---|
| **Category** | Capital Markets and Investment | **Duration** | 5 Days |
| **Base Fee** | $1,500 USD | **Delivery Mode** | Online / On-site Hybrid |

## Course Introduction

Anti-Money Laundering (AML) and Know Your Customer (KYC) practices are critical components in safeguarding the integrity of the global financial ecosystem. With evolving regulatory frameworks and increased scrutiny from financial authorities, investment service providers must adopt advanced AML and KYC strategies to mitigate risks, prevent fraud, and ensure compliance. AML & KYC in Investment Services Training Course provides professionals with a deep understanding of regulatory requirements, risk-based approaches, customer due diligence, transaction monitoring, and emerging trends in financial crime prevention. Participants will gain hands-on insights into practical applications, case studies, and industry-standard tools, enhancing their ability to maintain compliance while supporting organizational growth and credibility.

The course emphasizes the integration of AML and KYC frameworks within investment services, enabling participants to identify suspicious activities, conduct thorough customer assessments, and develop risk mitigation strategies. By combining theoretical knowledge with practical exercises, real-life scenarios, and interactive case studies, this program ensures learners are well-prepared to handle complex compliance challenges. Participants will also explore the impact of digital transformation on AML and KYC processes, leveraging advanced analytics, AI-driven monitoring, and global best practices to strengthen organizational safeguards and promote sustainable investment operations.

## Programme Curriculum

**AML & KYC in Investment Services Training Course**

**Introduction**

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**Course Objectives**

1. Understand the fundamentals of AML and KYC in investment services
2. Master regulatory compliance frameworks and global standards
3. Conduct comprehensive customer due diligence and risk assessments
4. Identify and report suspicious transactions effectively
5. Apply risk-based approaches to transaction monitoring
6. Integrate AML and KYC processes into organizational policies
7. Utilize digital tools and technologies for enhanced compliance
8. Analyze emerging trends in financial crime and fraud prevention
9. Evaluate internal controls and audit procedures for AML effectiveness
10. Implement robust record-keeping and reporting protocols
11. Strengthen anti-fraud strategies and corporate governance
12. Develop practical case analysis skills for real-world scenarios
13. Foster a culture of compliance and ethical investment practices

**Organizational Benefits**

- Reduced exposure to regulatory penalties and fines
- Enhanced corporate reputation and investor trust
- Improved risk identification and mitigation processes
- Strengthened internal controls and compliance frameworks
- Efficient monitoring and reporting of suspicious activities
- Increased staff competency and awareness in AML & KYC
- Support for ethical investment decision-making
- Streamlined compliance procedures across departments
- Enhanced fraud detection and prevention capabilities
- Alignment with global financial standards and best practices

**Target Audiences**

1. Compliance officers in investment firms
2. Risk management professionals
3. Financial analysts and advisors
4. Internal audit and control teams
5. Banking and investment operations staff
6. Legal and regulatory consultants
7. FinTech compliance specialists
8. Senior management in financial institutions

**Course Duration:** 5 days

**Course Modules**

**Module 1: Introduction to AML & KYC in Investment Services**

- Overview of money laundering and financial crime
- Regulatory requirements and global frameworks
- Importance of compliance in investment services
- Roles and responsibilities of compliance teams
- Case study: Analysis of a historical money laundering incident
- Practical exercises on regulatory interpretation

**Module 2: Customer Due Diligence and Risk Assessment**

- KYC process and data collection standards
- Identifying high-risk clients and jurisdictions
- Enhanced due diligence procedures
- Risk scoring and classification techniques
- Case study: High-risk client scenario evaluation
- Practical exercises on risk assessment

**Module 3: Transaction Monitoring and Reporting**

- Monitoring transactions for suspicious patterns
- Automated and manual detection methods
- Regulatory reporting requirements
- Internal escalation procedures
- Case study: Detecting unusual investment patterns
- Practical exercises on transaction review

**Module 4: AML & KYC Policies and Procedures**

- Drafting internal compliance policies

- Integration into operational workflows
- Employee training and awareness programs
- Auditing and process improvement strategies
- Case study: Policy failure analysis
- Practical exercises on procedure implementation

**Module 5: Digital Tools and Technology in Compliance**

- AI and machine learning applications in AML
- Blockchain and digital asset monitoring
- Compliance software solutions
- Data analytics for risk detection
- Case study: Implementing technology in KYC process
- Practical exercises on digital tools usage

**Module 6: Emerging Trends in Financial Crime**

- Terrorist financing and sanctions compliance
- Crypto-assets and new payment systems
- Insider trading and fraud schemes
- Cross-border investment risks
- Case study: Emerging trend detection in investment portfolios
- Practical exercises on trend analysis

**Module 7: Internal Controls and Audit Procedures**

- Audit planning for compliance effectiveness
- Control testing and risk mitigation
- Reporting audit findings
- Enhancing internal oversight
- Case study: Audit review of investment transactions
- Practical exercises on control evaluation

**Module 8: Real-Life Case Studies & Practical Applications**

- Review of global AML/KYC incidents
- Lessons learned and prevention strategies
- Hands-on simulations of compliance challenges
- Team-based analysis and reporting exercises
- Case study: Multi-jurisdictional investment fraud
- Practical exercises: Preparing compliance reports

**Training Methodology**

- Interactive lectures with real-world examples
- Hands-on case studies and simulations
- Group discussions and role-playing exercises
- Practical exercises with digital compliance tools
- Quizzes and knowledge assessments

**Register as a group from 3 participants for a Discount**

**Send us an email: info@fineskilltrainingcenter.org or call** *+254769199797*

***Certification***

*Upon successful completion of this training, participants will be issued with a globally- recognized certificate.*

***Tailor-Made Course***

*We also offer tailor-made courses based on your needs.*

**Key Notes**

**a.** The participant must be conversant with English.

**b.** Upon completion of training the participant will be issued with an Authorized Training Certificate

**c.** Course duration is flexible and the contents can be modified to fit any number of days.

**d.** The course fee includes facilitation training materials, 2 coffee breaks, buffet lunch and A Certificate upon successful completion of Training.

**e.** One-year post-training support Consultation and Coaching provided after the course.
**f.** Payment should be done at least a week before commence of the training, to Fineskill Training Center account, as indicated in the invoice so as to enable us prepare better for you.

## Upcoming Scheduled Sessions

| Start Date | End Date | Location | Price |
|---|---|---|---|
| **23 Nov 2026** | 27 Nov 2026 | Online | $1,000 |
| **23 Nov 2026** | 27 Nov 2026 | Physical | $1,500 |

| Start Date | End Date | Location | Price |
|---|---|---|---|
| **23 Nov 2026** | 27 Nov 2026 | Physical | $3,000 |
| **23 Nov 2026** | 27 Nov 2026 | Physical | $3,000 |
| **23 Nov 2026** | 27 Nov 2026 | Physical | $6,000 |
| **23 Nov 2026** | 27 Nov 2026 | Physical | $4,500 |
| **23 Nov 2026** | 27 Nov 2026 | Physical | $6,000 |
| **23 Nov 2026** | 27 Nov 2026 | Physical | $6,000 |

Ready to enroll or request a customized program? Book online or contact us:

**Register Online Now**

Email: info@fineskilltrainingcenter.com | Website: www.fineskilltrainingcenter.com