

Finance, AML & Compliance

The Client Due Diligence Process

Course Details

Price

£215.00

Length

Half day (09:00-12:30)

Course Overview

This workshop addresses the regulatory requirements for undertaking due diligence on clients at all levels. You will learn about the information and documentation required and how to risk rate clients using a risk based approach in accordance with the Guernsey regulatory requirements.

Course Content

- AML/CFT – what is it and what is its importance
- The regulatory requirements and a risk based approach
- How to evidence due diligence undertaken
- Politically exposed persons and high risk categories
- The requirements for simplified and enhanced due diligence
- The role of the MLRO

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- Barriers and how to overcome them

Benefits

This course is designed for those wishing to learn about the requirements of Client Due Diligence and how to implement a process.

After attending the course you will:

- Understand the regulatory requirements relating to AML/CFT
- Be aware of the importance of reviewing and evidencing due diligence
- Have gained a greater understanding of a "risk-based approach"
- Be able to implement a process to undertake client due diligence

Next Steps

If you would like to book a place on this course please click on the '**Book Course**' button to the right of this page and login or register for a user account to complete your booking(s). Any queries please do not hesitate to contact us via admin@gta.gg or call us on 01481 224570.

If no date is scheduled for this course at the present time please click on the '**Register Interest**' button and login or register for a user account so that we can add you to our course interest register. This register allows us to contact our tutors and finalise dates for a course as soon as we have a few people who have expressed their interest, so the more delegates who register their interest, the sooner we can schedule a particular course.

Course Tutor

Emma Mauger

Emma Mauger, TEP,Dip (ITM), FICA, Int.dip (COMP), Int.dip (AML), Int.dip (FinCrime). Emma has over 20 years' experience in the Guernsey financial sector and is one of only a handful of people worldwide to hold all three ICA Diplomas delivered via Manchester

University: ICA International Diploma in Compliance, in Financial Crime Prevention and in Anti Money Laundering. In addition Emma is a fully qualified STEP member, a certified GDPR Practitioner and a member of the Institute of Directors.

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