



**AFB Training:  
Financial Crime Risk Assessment  
Compliance Certificate**

## A new on-demand programme for AFB members

The AFB Financial Crime Risk Assessment Compliance Certificate is a new online programme tailored for AFB members. The course is an on-demand (pre-recorded) instructor-led learning programme designed for risk professionals who contribute to the design and management of the business-wide financial crime risk assessment.

The Certificate focuses on practical applications of the learnings, which members can use in their day-to-day roles. It will be delivered in partnership with Great Chatwell Academy of Learning (GCAL), who have delivered the successful AFB Financial Crime Diploma course.

Course participants can expect to benefit from:

- Five learning modules (each module lasts one hour) with up-to-date content;
- Delivery via online and on-demand instructor-led learning, which can be completed at the learner's convenience;
- Modules that include structured learning and case-study analysis;
- End of module MCQ (multiple choice questions) assessment that will confirm understanding;
- CPD credits for all sessions attended, awarded by the CPD Certification Service.

On successful completion of all assessments, participants will receive the AFB Financial Crime Risk Assessment Compliance Certificate awarded in association with the University of Gloucestershire.

### Course modules

1. Introductions and defining the risk.
2. Crime typologies, 'Think like a criminal'.
3. UK and International legal and regulatory responsibilities for corporates and regulated individuals.
4. Managing the risks – what it looks like.
5. Reporting and escalating the risks.

### Course structure

- Advanced pre-recorded instructor led training lasting between 5-7 hours
- 5 hours of learning
- 30-minute case study analysis
- Sample self-assessment MCQ
- 45-minute MCQ assessment
- CPD credits for any session attended
- SARS Compliance Certificate awarded in association with the University of Gloucester

### Who should attend

- Financial crime risk management professionals
- Senior FC professionals
- MLRO's, Heads of FC, CCO's and their deputies
- Internal auditors

### Course fees

Course Fees: £499 +VAT

**PLEASE NOTE PAYMENT IN FULL IS REQUIRED BEFORE COURSE COMMENCEMENT**

### Further information

For further information and to book your place, please contact [secretariat@foreignbanks.org.uk](mailto:secretariat@foreignbanks.org.uk)

## Learning outcomes

By the end of this programme, you will be able to:

- Describe what a business-wide financial crime risk assessment (BWRA) is, and why it is important for a firm to have an accurate and up to date register.
- Complete an BWRA for your firm according to regulatory expectations.
- Explain how the BWRA should be used as part of good governance systems and controls.
- Identify and use dynamic information and intelligence to continuously update the BWRA to manage and mitigate the risk of a firm being used by criminals.
- Analyse case studies and enforcement action to identify 'what went wrong'.
- Draft supporting operating procedures that explain to other staff how to conduct the BWRA and ensure compliance with regulatory expectations.

## Course topics

- Introduction to the BWRA.
- Money Laundering Regulations 2017 (as amended).
- FCA SYSC Handbook 6.3 and 3.2.6
- Basel Committee and Wolfsberg Group Guidance.
- Governance and oversight.
- How to construct a BWRA and expected outcomes.
- Methodology for performing and recording the BWRA.
- Identifying the risks and obtaining sources of risk information and data.
- Assessing the risks.
- Measuring the impact and likelihood of risks.
- Weighting the risks.
- Defining the outcomes.
- Using the results to effect change and impact financial crime risk prevention.
- Reporting the outcomes and key management information.
- FCA finding analysis: FCA Report TR 14/16 'How small banks manage money laundering and sanctions risk' (November 2014)
- Case enforcement action analysis: FCA v ADM Investor Services International Limited (Sept'2023)

## Course instructor – Lee Byrne & invited guests



Lee Byrne is a highly respected financial crime prevention professional, with more than 30 years international operational and management experience. Lee specializes in the design, development and delivery of systems and controls to manage and mitigate financial crime risks; including money laundering, tax evasion, sanctions, bribery, corruption and terrorist financing risks. Lee has held the position of Head of Compliance & Financial Crime at a UK authorised bank and was approved as the CF11 Money Laundering Reporting Officer (MLRO) Approved Person and Nominated Officer. Lee has worked in many of the major financial markets, giving him extensive knowledge of international financial crime compliance best practices.