

# KNOW YOUR CUSTOMER (KYC) REGULATORY COMPLIANCE

*"Building Trust, Ensuring Transparency - Mastering KYC for Global Compliance"*

## Schedule

Venue (InHouse)	Fees
At Your Organization Premises	Ask For The Quotation

► **Available delivery methods:** In-House Training

## Introduction

This comprehensive 5-day training program equips compliance professionals, bankers, and financial sector regulators with an in-depth understanding of Know Your Customer (KYC) processes, regulatory requirements, and international best practices. Participants will gain hands-on tools to design, manage, and enhance KYC programs aligned with AML/CFT laws and risk-based compliance frameworks.

## Objectives

By the end of this course, participants will be able to:

- Understand the global regulatory landscape around KYC and AML/CFT
- Implement risk-based KYC onboarding, screening, and monitoring
- Design KYC frameworks to meet FATF, FinCEN, EU, and local compliance standards
- Detect and report suspicious activity effectively
- Ensure due diligence, data integrity, and audit-readiness

## Why Attend

- Learn the latest global KYC/AML expectations and enforcement trends
- Strengthen your institution's regulatory posture and risk defenses
- Gain skills to lead audits, remediation, and digital KYC transformation
- Master red flag detection and risk scoring models

## Target Audience

- Compliance & AML officers
- Internal auditors & risk professionals
- Onboarding/KYC analysts & operations teams
- Bankers and financial services professionals
- Legal, audit, and regulatory reporting teams

## Individual Benefits

- Practical KYC implementation and policy management skills
- Enhanced professional profile with compliance expertise
- Better career readiness for regulatory, audit, or banking roles
- Ability to handle complex due diligence and high-risk clients

## Organizational Benefits

- Reduced compliance risk and penalties
- Increased onboarding efficiency and customer trust
- Strengthened internal control and governance framework
- Enhanced audit readiness and transparency

## Instructional Methodology

- Interactive case studies & real-life compliance failures
- Regulatory document analysis & compliance risk mapping
- Group work and role-play: customer onboarding scenarios
- Screening tool walkthroughs and red flag detection exercises

## MAWA EVENTS

**Address:** No. 857, Block A2, Leisure Commerce Square - No 9., 46150 Petaling Jaya, Selangor, Malaysia

**Phone:** +601116373203 | **Email:** info@mawaevents.net

---



## Course Outline

DETAILED 5-DAY COURSE OUTLINE (Customizable) Training Hours: 07:30 AM – 03:30 PM Daily Format: 3–4 Modules | Coffee breaks: 09:30 & 11:15 | Lunch Buffet: 01:00 – 02:00

### Day 1: KYC Foundations & Regulatory Landscape

- Module 1 (07:30 – 09:30): Introduction to KYC and AML/CFT
- KYC pillars: Identification, Verification, Monitoring
- FATF Recommendations, Basel AML Index, Wolfsberg Principles
- Evolution of global KYC enforcement
- Module 2 (09:45 – 11:15): Legal & Regulatory Compliance Framework
- FinCEN, OFAC, EU AMLD, APG, and local regulations
- Customer Due Diligence (CDD) vs Enhanced Due Diligence (EDD)
- Penalties and enforcement case studies
- Module 3 (11:30 – 01:00): Risk-Based Approach to KYC
- Risk classification models (low/medium/high)
- KYC risk scoring and assessment templates
- Integrating KYC into the enterprise-wide risk management system

### Day 2: KYC Operational Processes

- Module 4 (07:30 – 09:30): Customer Onboarding & Verification
- Identity documents, beneficial ownership checks
- Individual vs Corporate KYC
- eKYC technologies and biometrics
- Module 5 (09:45 – 11:15): Sanctions, Watchlists, and PEP Screening
- UN, OFAC, EU, UK sanctions compliance
- Politically Exposed Persons (PEPs): detection and risk
- Tools and vendors for screening automation
- Module 6 (11:30 – 01:00): Ongoing Monitoring & Transaction Review
- Periodic reviews and event-driven updates
- Suspicious Activity Reports (SARs/STRs)
- Alerts, escalation workflows, and audit trails

### Day 3: Enhanced Due Diligence & High-Risk Clients

- Module 7 (07:30 – 09:30): Enhanced Due Diligence (EDD) for High-Risk Customers
- Offshore accounts, shell companies, correspondent banking
- Source of funds vs source of wealth
- Documentation and approval processes
- Module 8 (09:45 – 11:15): Red Flag Indicators and Case Study Analysis
- Red flags by customer type, geography, industry
- Real-life laundering schemes and detection errors
- Group case study: Identify red flags from onboarding file
- Module 9 (11:30 – 01:00): KYC Failures and Enforcement Lessons
- Analysis of major regulatory penalties
- Root causes: culture, data, governance
- What regulators expect from internal KYC reviews

**Day 4: Technology, Digital KYC & Compliance Governance**

- Module 10 (07:30 – 09:30): Digital KYC & RegTech Tools
  - AI, blockchain, and digital identity
  - Vendor evaluation criteria
  - Risks of over-reliance on automation
- Module 11 (09:45 – 11:15): Internal Controls and Compliance Governance
  - 3 lines of defense: roles & responsibilities
  - Documentation, reporting lines, compliance charters
  - KYC policy & procedure design
- Module 12 (11:30 – 01:00): Quality Assurance & Audit Preparation
  - KYC file reviews and audit trail requirements
  - Sampling techniques, quality control checklists
  - Preparing for regulatory and internal audits

**Day 5: Final Simulation, Best Practices & Action Planning**

- Module 13 (07:30 – 09:30): Cross-Border KYC and Complex Structures
  - Foreign clients, offshore entities, intermediaries
  - UBO challenges and multi-jurisdictional compliance
  - Trusts, foundations, and nominee arrangements
- Module 14 (09:45 – 11:15): Final Simulation: KYC File Review & Risk Assessment
  - Group review of onboarding and monitoring files
  - Drafting SARs, escalation memos
  - Regulatory mock interview and feedback
- Module 15 (11:30 – 01:00): Wrap-up, Certification & Personal Action Plans
  - Summary of lessons learned
  - KYC maturity model: Where does your organization stand?
  - Developing your personal roadmap

**Certification**

Participants will receive a Certificate of Completion in Know Your Customer (KYC) Regulatory Compliance, recognizing their expertise in designing and implementing robust KYC programs.

**Why Choose MAWA Events**

- **Global Expertise:** More than 17 years of experience in professional training and consulting.
- **Industry-Leading Faculty:** Courses delivered by seasoned professionals with hands-on experience.
- **Practical Insights:** Learn to turn theory into actionable strategies for real-world business impact.
- **Client-Focused Solutions:** Customized programs designed to achieve your organisation's unique goals.

**In-House / Customized Training**

Interested in running this course for your team?

Please contact us:

TEL:

**+601116373203**

EMAIL:

**info@mawaevents.net**