TOPIC-SPECIFIC LEARNING JOURNEY

COURSE PACKAGE:

"FINANCIAL CRIME"



ENTRIMA's Learning Platform lists a wide range of courses, all related to markets & trading. Some of these courses have been bundled to form a course package, as they all concerns the same field of expertise.

The Course Package "**Financial crime – *Introduction***" consists of the following courses:

1. Introduction to financial crime 3
2. Money laundering 4
3. Terrorist financing 5
4. Bribery 6
5. Financial fraud 7
6. Tax fraud 8
7. Employee fraud 9
8. Market abuse 10

Each of these courses ends with an exam. Upon passing the exam the learner will be certified instantly. The contents, duration and level of each course is set out in the pages hereafter.

Total duration*) of all eight (**8**) courses together: **200** minutes (i.e. -rounded- **4** hours)

*) *Excluding examination*

COURSE:
INTRODUCTION TO FINANCIAL CRIME

This training covers the fundamentals of financial crime. It touches on the features of characteristics of financial crime and raises attention for the consequences of these practices. The course highlights role of corporate governance and crime management.

This training includes the following topics:

- The basic characteristics of financial crime
  - Types of financial crime
  - The consequences of financial crime
- Sanctioning
  - Administrative sanctions
  - Criminal sanction
- Crime management
  - Prevention & detection
  - Monitoring & surveillance
  - Supervision
  - Crime fighters
- Governance
  - The role of management
  - The role of the compliance department

❖	Level:	Basic	No prerequisites
❖	Intensity:	25 minutes	Excluding examination
❖	Language:	Voice & text	English
❖	Including:	Examination	Certification upon passing

COURSE:
MONEY LAUNDERING

This training covers the fundamentals of money laundering. It touches on the basics of the related topics or themes. The three basic steps in the laundering process are set out in a nutshell and it is explained what roles various parties could play.

This training includes the following topics:

- Money laundering
  - What is it?
- Steps in the laundering process
  - Placement
  - Layering
  - Integration
- Anti-money laundering
  - AML policy
- Money transfers
  - International transfers
  - Series of transfers
  - Based on invoicing
- Attention required
  - Banks
  - Intermediaries
  - Market participants
- Indicators to detect money laundering
  - List of examples

❖ Level:	Basic	No prerequisites
❖ Intensity:	25 minutes	Excluding examination
❖ Language:	Voice & text	English
❖ Including:	Examination	Certification upon passing

COURSE:
TERRORIST FINANCING

This training covers the fundamentals of terrorist financing. It touches on the relationship with money laundering and sets out various international crime fighting initiatives. During this course it is also explained what differences there are in the organisation of money laundering and terrorist financing.

This training includes the following topics:

- Terrorist financing
  - What is it?
- Financing
  - Legitimate sources
  - Illegal sources
- Anti-terrorist financing
  - ATF policy
- Terrorist financing and money laundering
  - In conjunction
  - Differentials
- Checks & balances
- Operations at risk
- Fighting terrorist financing
  - Financial Action Task Force (FATF)
  - Terrorist Finance Tracking Program (TFTP).
  - Patriot Act
- Indicators to detect terrorist financing
  - List of examples

❖	Level:	Basic	No prerequisites
❖	Intensity:	25 minutes	Excluding examination
❖	Language:	Voice & text	English
❖	Including:	Examination	Certification upon passing

COURSE:
BRIBERY & CORRUPTION

This training covers the fundamentals of corruption. The course touches on the basics of the related topics or themes, including bribery. Various relating policies and regulations are set out in a nutshell and it is explained what roles certain organisations in this field have.

This training includes the following topics:

- Bribery
  - What is it?
- Corruption
  - What is it?
- Anti-bribery & corruption
  - ABC policy
  - OECD Anti-Bribery Convention
  - US Foreign Corrupt Practices Act
  - UK Bribery Act
- Bribery versus extorsion
  - Similarities & differentials
  - Coercion
  - Offender & victim
- The concept of reciprocity
  - What does it imply?
  - Inequity aversion
- Gifts
  - Code of conduct

❖	Level:	Basic	No prerequisites
❖	Intensity:	25 minutes	Excluding examination
❖	Language:	Voice & text	English
❖	Including:	Examination	Certification upon passing

COURSE:
FINANCIAL FRAUD & SCAMS

This training covers the fundamentals of financial fraud. Attention is given to identity theft, as one of the forms of financial fraud, like cybercrime and other scams. In this course numerous examples are provided.

This training includes the following topics:

- Fraud
  - What is it?
  - Legal definition(s)
- Examples of fraud
  - Listing
- Identity theft
  - Assumption of another person's identity
  - Examples of identity theft
  - Money mules
  - Trojans
  - Account takeover
  - Application fraud
  - Phising
  - Overtaking identifying information
- Internet fraud
  - Cybercrime
- Fraudsters contacting victims
  - Methods

❖	Level:	Basic	No prerequisites
❖	Intensity:	25 minutes	Excluding examination
❖	Language:	Voice & text	English
❖	Including:	Examination	Certification upon passing

COURSE:
TAX EVASION & TAX FRAUD

This training covers the fundamentals of tax evasion and tax fraud. The course sets out the differentials between tax evasion and tax avoidance and touches on the basics of the related topics or themes. This training also given attention to tax fraud and goes into depth on a specific form of tax fraud, VAT fraud.

This training includes the following topics:

- Tax evasion
  - What is it?
- Tax evasion versus tax avoidance
  - Similarities and differentials
  - Responsible, aggressive or abusive tax avoidance
- Tax fraud
  - What is it?
- Types of tax fraud
  - VAT fraud
  - Example of VAT fraud: fraud in the traded markets
- Tax fraud schemes
  - Acquisition fraud
  - Carousel fraud

❖ Level:	Basic	No prerequisites
❖ Intensity:	25 minutes	Excluding examination
❖ Language:	Voice & text	English
❖ Including:	Examination	Certification upon passing

COURSE:
EMPLOYEE FRAUD

This training covers the fundamentals of fraud by an employee of the company. It touches on the basics of the related topics or themes. Internal fraud is set out in a nutshell and it is explained what types of employee fraud there are, as well as how this can be identified.

This training includes the following topics:

- Employee fraud
  - What does it concern?
- Examples of employee fraud
  - Listing
    - Wire fraud
    - Embezzlement
    - Fraudulent documents
- Consequences
  - In-company
  - Externally
- Control
  - Checks & balances
  - Front, middle and back office activities
- Indicators to detect employee fraud
  - List of examples

❖	Level:	Basic	No prerequisites
❖	Intensity:	25 minutes	Excluding examination
❖	Language:	Voice & text	English
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COURSE:
MARKET ABUSE

This training covers the fundamentals of market abuse. It touches on the basics of the related topics or themes. The course sets out in a nutshell what insider trading and market manipulation concern. And it is explained why market integrity is important.

This training includes the following topics:

- Market abuse
  - Market integrity
  - Protecting investors and consumers, plus other market participants
  - Prohibition of insider trading
  - Prohibition of market manipulation
- Inside information
  - Criteria to be met in order to qualify information as inside information
  - Obligation to publish inside information
- Insider trading
  - Trading on the basis of inside information
  - Unlawful or improper disclosure of inside information
  - Recommending or inciting others to insider trading
- Manipulation of markets
  - Categories
  - Schemes
- Supervision
  - Authorities
- Sanctioning
  - Adminstrative
  - Criminal

❖	Level:	Basic	No prerequisites
❖	Intensity:	25 minutes	Excluding examination
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❖	Including:	Examination	Certification upon passing