

E-LEARNING COURSE

Investment Adviser Foundations of Anti-Money Laundering and Countering the Financing of Terrorism

On August 28, 2024, the Financial Crimes Enforcement Network (FinCEN) issued a landmark final rule to include certain investment advisers in the definition of a “financial institution” under the Bank Secrecy Act (BSA). This rule imposes anti-money laundering (AML) and countering the financing of terrorism (CFT) requirements on registered investment advisers and exempt reporting advisers.





Covered institutions have until January 1, 2026, to fully implement AML/CFT programs and be prepared for examination by the Securities and Exchange Commission (SEC).

Designed for investment advisers, this 1-hour course reviews the concepts of money laundering and terrorism financing illicit financing risks the investment adviser industry faces, as well as the global standards, jurisdictional regulations, and institutional controls associated with combating money laundering and terrorism financing.

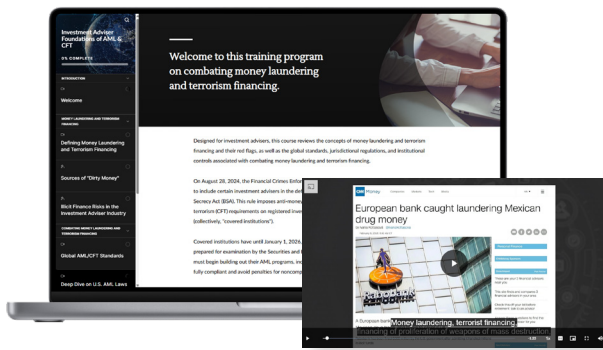
Learning Objectives

- ✓ **Define money laundering** and recognize the three steps in the money laundering process
- ✓ **Define terrorism financing** and recognize the sources of terrorism financing and other illicit funds
- ✓ Identify the primary categories of **illicit finance** risks facing the investment adviser industry
- ✓ Review **global regulatory standards** for anti-money laundering and countering the financing of terrorism (AML/CFT)
- ✓ Deep-dive into the **U.S. AML/CFT requirements** for investment advisers
- ✓ Explore **institutional controls** and implementation of U.S. regulatory requirements
- ✓ Examine the **consequences of non-compliance** including key enforcement actions

Course Features

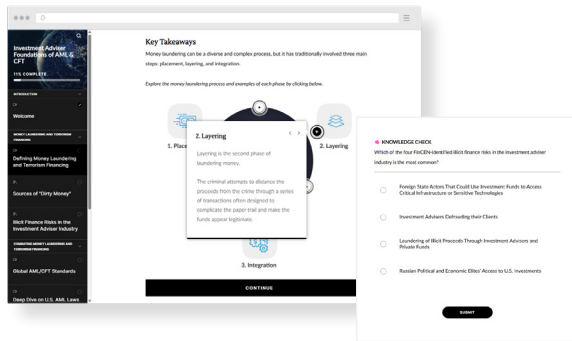
-  **Engaging Content:** Every lesson within the course features interactivities, which employees are required to engage with in order to progress. Enhanced engagement means better retention.
-  **Video:** Content is kept fresh including animated videos throughout to illustrate key concepts.
-  **Knowledge Checks:** Each lesson includes with 1-3 knowledge check questions to confirm understanding of the content before proceeding. After submitting an answer, staff receive real-time feedback, which offers an opportunity to continue learning.
-  **Final Test:** The course concludes with a final test consisting of 10 questions pulled randomly from a larger question bank. Passing the final test is a requirement for course completion.

Learning Journey



INTRODUCTION

Welcome

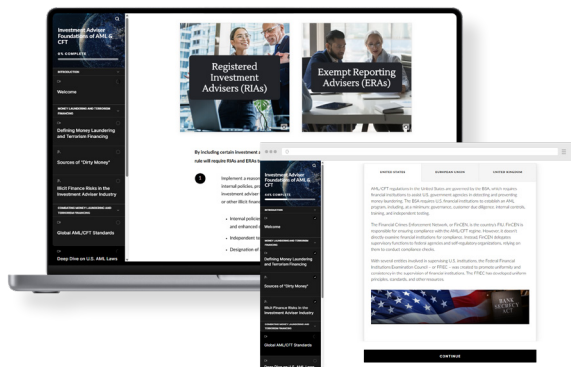


MONEY LAUNDERING AND TERRORISM FINANCING

Defining Money Laundering and Terrorism Financing

Sources of "Dirty Money"

Illicit Finance Risks in the Investment Adviser Industry



COMBATING MONEY LAUNDERING AND TERRORISM FINANCING

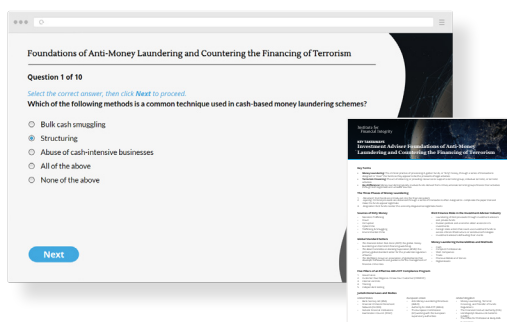
Global AML/CFT Standards

Deep Dive on U.S. AML Laws and Regulations

AML/CFT COMPLIANCE

AML/CFT Compliance Program

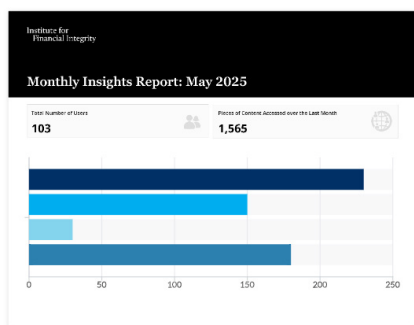
U.S. Regulatory Bodies and Enforcement Actions



CONCLUSION

Summary

FINAL TEST



Seamless Administration

Designed to ease the burden of administrators, this course is developed to industry SCORM standards and offers real-time reporting and seamless integration with industry learning management systems.

In addition to on-demand reporting, administrators receive monthly insight reports customized for your organization. This can include key usage data such as time spent, completion status, and scores, all of which can be analyzed by department, region, or other metrics.

Our courses provide efficient solutions for you to deliver training, track completion, and take action where required, all key elements of every compliance program.

Configured for Customization

This e-learning course is available for customization, whether tailoring the look and feel to resonate with your firm's brand or writing new content and interactivities to cover key scenarios and regions unique to your firm's risk profile.

Risk-Based Customization

No two teams face exactly the same risks. The most impactful training is tailored to the real threats facing each business unit, product line, or geographic region. Instead of firm-wide programs covering generic concepts, organizations need learning paths that speak directly to the risks employees encounter in their roles—whether that's handling high-risk clients, managing cross-border payments, or onboarding customers in emerging markets.

Scenario-Driven and Role-Specific Learning

Employees learn best when they see themselves in the material. Training should reflect the realities of day-to-day work. When staff recognize real-world situations in their learning—like spotting suspicious activity or navigating a difficult customer onboarding—they're more likely to engage and remember what matters. Interactive scenarios and practical case studies help bridge the gap between theory and action.

Partner with our experts to address your firm's unique needs. Please reach out to discuss your needs.

Learn More

In recent years, illicit financing risks have expanded in scope, complexity, and significance including across money laundering, terrorism financing, proliferation financing, corruption, and the evasion of sanctions and strategic trade controls. It is more important than ever for financial institutions to implement training programs to meet elevated compliance and risk management expectations, protect their reputations, and safeguard our collective security.

To learn more or schedule a demo of the course, please reach out to info@finintegrity.org.