



**ABOUT BUSINESS  
CRIME SOLUTIONS,  
INC.**

# SECURITIES DEALER TRAINING PROGRAMS

The following is a summary of the training programs offered to Securities Dealers and Support Services by ABCsolutions:



## AML/CTF PROGRAM FOR SECURITIES DEALERS

Four modules each with associated review sheets and associated supporting documents.

## OUR TRAINING



**ACCESSIBLE  
24/7**

Have your training program accessible whenever



**CURRENT  
AND UPDATED**

Have information updated as change occurs



**CONTINUOUS  
TESTING**

Test employee knowledge through randomly-generated on-line exams



**KEEP  
RECORDS**

Have a record of employee scores to ensure your training program is effective.



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### Introduction:

Background information on money laundering and terrorist financing; the essential compliance program elements; the risk-based approach; the criminals and the organizations fighting money laundering and terrorist financing; and penalties for non-compliance with the *Proceeds of Crime (Money Laundering) and Terrorist Financing Act*.

### About Money Laundering & Terrorist Financing:

The stages of money laundering; common impacts and techniques; and common sources of terrorist financing.

### Understanding Risks & Reporting Requirements:

Know Your Client rules; indicators of unusual/suspicious transactions; and the required reports for submission to FINTRAC.

### Client Identification and Record-Keeping Requirements:

The methods to verify identification, including for politically exposed persons, heads of international organizations, beneficial ownership, control and structure; business relationship verification; and third-party determination requirements; and records such as, account opening, intended use of an account, normal course of business, client statements and suspicious transaction obligations.

3 CE Credits through IAS – Advocis, with one in the Ethics Category  
5 IIROC CE Credits



## AML/CTF SECURITIES FOR SUPPORT SERVICES

Three modules with associated review sheets and associated supporting documents. This course would include employees that are non-customer facing (e.g., human resources, accounting, marketing, information technology).

**Introduction:** Background information on money laundering and terrorist financing; the essential compliance program elements; Canadian control organizations fighting money laundering and terrorist financing; and penalties for non-compliance with the *Proceeds of Crime (Money Laundering) and Terrorist Financing Act*.

**About Money Laundering & Terrorist Financing:** The stages of money laundering; common sources of terrorist financing, and the differences between the two.

**About Reporting Requirements & Suspicious Transaction Indicators:** Indicators of unusual/suspicious transactions, summary of the reporting requirements, and client identification and record keeping obligations.

**Additional Support Documents:** Fact sheets, legislative changes, FINTRAC Interpretive Policies, third party determination, beneficial ownership, expectations for completing an STR, and more.



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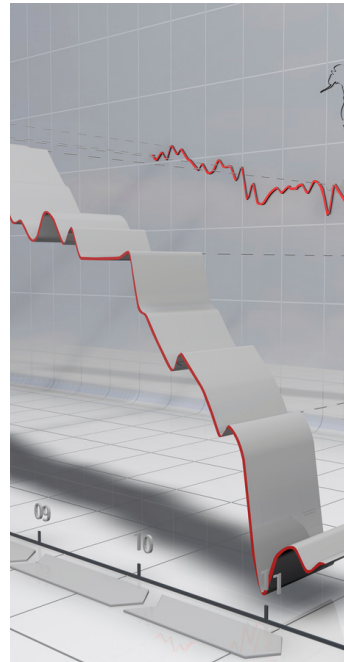


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# SECURITIES CUSTOMIZED PROGRAMS

Develop a training program that meets the specific requirements of your organization.



## ADDITIONAL COURSES

### **Fraud:**

Five modules (Background, Enablers for Committing Fraud, External and Public Sector Fraud, Internal Fraud, and Managing Risk Exposures). It is designed to assist the user with an understanding of the basics of fraud, the types of fraud (external, occupational and public sector), fundamental ways to commit fraud, the main methods in which fraud impacts an organization and/or its employees, and more.

### **New Payment Products and Services:**

Two modules focusing on four categories: prepaid cards; mobile payment services; internet-based payment services; and virtual currencies, including Bitcoin. The modules define these products and services, their vulnerabilities, the risk of money laundering and terrorist financing, mitigating measures, and more.

### **Elder Financial Abuse:**

Three modules providing information to assist practitioners to recognize the importance of the application of elder financial abuse/exploitation risk controls into their risk assessment, and how to facilitate the detection, response, and reporting of these activities within their organization.



**Privacy Courses:** We offer courses on the *Personal Information and Electronic Documents Act (PIPEDA)*, *Alberta Personal Information Protection Act (PIPA)*, *B.C. Personal Information Protection Act (BCPIPA)*, and *Québec: an Act Respecting the Protection of Personal Information in the Private Sector*.

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