



AML and Compliance E-Learning and E-Testing for Financial Institutions

Fintelligence offers E-Learning modules covering key topics of AML and Bank Compliance for employees at banks and asset management companies. A reliable monitoring and reporting is ensured by individual tests. Thus, this enables you to fulfill regulatory requirements.

The E-Learning modules enable learning and understanding through many interactive elements, links and case studies. The modules take into account the latest legal and regulatory requirements (including CDB 20).

The modular structure conveys the extensive content in clearly structured, varied units. The dynamic set-up of graphics and diagrams allows you to experience interrelations in an intuitive way.

Tests allow immediate feedback on the level of knowledge and learning progress. In particular, learners may focus on areas with the largest need for catching up.

Also, the testing and reporting functions enable you to meet FINMA requirements.



Your benefits

- Target group: Employees in Banks and Asset Management companies in Switzerland
- Tailor-made and sustainable learning: Modular set-up for 12 topics, including case studies, examples and extensive pools of questions for introductory, self, and exam tests
- German, French, Italian, English
- Developed jointly with members of a law consultancy and compliance experts
- Periodic updates
- Independent of time and location: PC, Tablets, Smartphones
- Technical characteristics: SCORM-compatible; operates on both the Fintelligence LMS or Bank LMS
- Bank-specific features (e.g. internal directives) can be included into body of knowledge and test questions
- Swift reporting und monitoring
- Multimedial and varied: Learning is fun
- Real-time monitoring and reporting for FINMA

Content

Compliance Awareness

- Law and integrity
- Objectives of Compliance
- Responsibility, organisational integration, and reporting (ICS)

Anti-Money Laundering

- Indications of money laundering
- Significance of money laundering
- Prevention of money laundering
- Conduct in case of suspicion of money laundering
- Identification of contracting partner and of beneficial owner
- Risk-based approach (activities and transactions with higher risks, PEP, etc.)

Reputation Risks

- Principles and identification of customer relationships with potential reputation risks

Conflict of Interests

- Principles and rules of conduct

Employee Transactions

- Fundamental Principles
- Trading accounts, holding periods, personal power

Principles of automatic exchange of information (AEOI)

Principles of cross-border business and FATCA

Confidentiality and Data Security

- Data protection
- Banking secrecy
- Business secrets

Gifts

- Types of gifts and events
- Criteria for handling gifts
- Fighting against corruption

Investment Suitability

- Investment and Advisory Suitability
- Product Suitability
- Risks
- Application of principles of Suitability

Fraud Awareness

Financial Services Act (FinSA)



The E-Learning modules are illustrated by cartoons of Max Spring.

Certification

Fintelligence is accredited by the Swiss Association for Quality SAQ (recognised by SECO) for certification of client advisors. Compliance knowledge can be

checked through tests (for example annual AML tests). By running tests, Compliance certification can be conducted. This can also serve for regulatory purposes.



About Fintelligence

Fintelligence offers tailor-made and personalized services in personal and organizational development for financial services providers. In particular, Fintelligence is focussed on offering development measures and

trainings for client advisors in banking. Fintelligence is a registered stock corporation under Swiss law. It is headquartered in Zug, Switzerland.