



FIU | Continuing &
Professional Education
FLORIDA INTERNATIONAL UNIVERSITY

CONTINUED EDUCATION

Online and In Person Courses - Get CE Credits



Online

AMLCA

20 AML CE credits | Valid for 2 years

Learning Outcomes Once Completing the Program:

- Utilize tools to improve internal controls, policies, procedures and processes of organizations
- Effectively mitigate risks in transactions of money laundering and terrorist financing
- Meet the challenge of complying with the expectations of AML laws and regulations



Course Outline:

- Paper Trails: Genesis of Money Laundering
- The Recent History of AML/CFT
- Laws/Regulations and International Organizations
- Consolidated Structure Concerns
- Assessing Institutional Risk
- Customer Identification & Due Diligence
- Record-keeping & Reporting Requirements
- Office of Foreign Assets Control
- International Controls
- Risk and Risk Mitigation - Customer Types
- Monitoring and Reporting Suspicious Activity
- Responding to Government Processes
- Preparing for Audits and Examinations
- Training
- Communicating with Boards and Management



Eligibility/Preparation

Candidates should be employed in financial services or in a compliance role in another industry to qualify for the program. Prior to the course, participants must complete the reading list, inclusive of FFIEC BSA/AML Manual, FinCEN and FTAF advisories. Anticipated reading time: 10-15 hours.



Instructor: Ana Maria de Alba is a risk management and banking consultant with over 23 years of experience and training in the banking and consulting industries. She provides forensic investigations, litigation support and risk management consulting in the domestic and international banking communities. Ms. de Alba is founder and President of Consulting Services for Management & Banking (CSMB).



Cost:

\$1,395 Nonmembers
\$1,195 FIBA Members
\$ 995 Government



Certification & Continuing Education Credits

Participants are required to take an online exam and must pass with a score of 75% or higher to earn certification (equal to 20 AML Continuing Education credits and valid for two years).

**FIU**Executive
Education
FLORIDA INTERNATIONAL UNIVERSITY

Online

CPAML

20 AML CE credits | Valid for 2 years

Learning Outcomes Once Completing the Program:

- Follow a case-study format with exercises on the challenges faced by the AML Compliance Officers
- Utilize components of risk management that can be applied in real-life scenarios.
- Incorporate key factors to meet the challenge of complying with regulatory expectations.
- Report on all facets of AML program to senior management, the board of directors, and regulators.



Course Outline:

- | | |
|---|---|
| • Institution's Risk Profile | Suspicious Operations |
| • Client Identification Profile, CIP (Due Diligence – Know Your Client (KYC)) | • Prioritization Plan and Design of a System of Retrospective Revisions |
| • Transactional Due Diligence | • How to Respond to Actions of Supervision |
| • Internal Systems Control – Auto Monitoring – Control Effectiveness | • List of Tasks of the Department of Completion AML/CFT |
| • Internal Investigations – Unusual Operations – | |



Format

Delivered as a two-day workshop, the program combines instructor-led dialogues and exercises based on case studies, ensuring participants acquire the advanced knowledge of risk management that can be applied to real-life scenarios. Participants collaborate in groups to develop presentations.



Eligibility/Preparation

Participants are required to have a minimum of three years of management experience or in a risk management and /or compliance role, as well as a knowledge base on AML/CFT compliance fundamentals. Before the course, participants will receive a "CPAML Workbook" that contains the 8 exercises.



Instructor: Ana Maria de Alba is a risk management and banking consultant with over 23 years of experience and training in the banking and consulting industries. She provides forensic investigations, litigation support and risk management consulting in the domestic and international banking communities. Ms. de Alba is founder and President of Consulting Services for Management & Banking (CSMB).



Cost:

\$1.595 Nonmembers
\$1.395 FIBA Members
\$1.195 Government



Certificate Completion & Continuing Education Credits

Participants are required to take an online exam and must pass with a score of 80% or higher to earn FIBA's CPAML advanced certification (equal to 20 AML Continuing Education credits and valid for two years).



Online

AMLCA Law Enforcement

Learning Outcomes Once Completing the Program

- Utilize necessary tools to detect different types of financial crimes, understand how the regulatory framework governs banking compliance and how banks are structured.
- Incorporate key factors to effectively investigate transactions and other banking activities that may constitute money laundering, terrorist financing or other financial crimes.
- Understand types of controls banks have in place to mitigate risk and combat several types of financial crimes and the necessary tools used to implement and improve internal policies, procedures and processes.



Course Outline:

- Qualified Instructors – learn from world-class instructors with AML experience
- Ongoing Support – connect and interact with your instructor and other professionals.
- Modules and Multimedia – improve understanding with easy-to-follow case studies, videos and discussions
- Practice Tests – assess comprehension to successfully prepare for the final exam.
- Final Exam – conveniently administered through the actual course on the FIU Online platform
- Professional Accreditation – offered in association with Florida International University (FIU), a nationally accredited university, ranked number 6 in International Business across the country.
- Access to a Global Network – connect with professionals from various sectors.



Eligibility/Preparation

Law enforcement officers

Attorneys and paralegals who are involved in prosecuting financial crimes

Judges or other members of the bar who require a deeper understanding of the role of financial institutions in the commission of financial crimes



Instructor: Isabelle Wheeler, CFA, AMLCA, has more than 30 years of experience working for and with financial institutions. Isabel has worked at esteemed financial institutions, including Citibank, Chase Manhattan Bank, Banco Santander and BNP Paribas. Her career progressed from relationship manager with clients in Latin America, to investment advisor, Director of Products and Services and Director of Marketing and Sales. She has been recognized for her leadership skills and is a regular panelist for industry conferences.



Cost:

\$1,395 Nonmembers
\$1,195 FIBA Members
\$ 995 Government



Certification & Continuing Education Credits

AML Certified
Valid for two years



Online

AML for Fintechs Certificate Program

Continuing Education Credits: 7 Credits

A course specifically designed for FinTech professionals offering a certificate proving knowledge of emerging global challenges and solutions regarding AML compliance in working collaboratively with financial institutions.

Following a survey of the most pressing threats in the Fintech landscape with real-world incidents as illustrations, **participants are led through a number of current regulations pertaining to developing and maintaining an effective AML program while prepping them with expert prevention strategies and best practices.**



Key Learning Objectives:

- Discover general and crucial AML components to best structure a BSA/AML Compliance program
- Learn to assess a company's risk and how to mitigate it with a comprehensive AML program
- Understand best practices in customer identification and due diligence
- Practice key elements in recordkeeping and reporting requirements
- Prevent and respond to customer fraud and suspicious activity
- Identify and document sanction programs, screenings, and oversight programs



The online courses are an interactive option design for participants interested in completing the certificate at their own pace. Participants will have 60 days* to complete the reading materials, videos and quizzes.

*If registration was made after the course commencement date, participants will have less than 60 days to complete the course.



Instructor: Connie Fenchel is an internationally recognized expert with more than 30 years of experience in the areas of money laundering, detection of suspicious activity and financial investigations. Ms. Fenchel served as the Deputy Director of the Financial Crimes Enforcement Network (FinCEN); the Executive Director of Operations, Director of Financial Investigations, Group Supervisor and a Special Agent for the U.S. Customs Service. She has been the President of AML Experts for the past 10 years and provides consultation and support to a wide range of companies and financial institutions. Ms. Fenchel is also a Certified Anti-Money Laundering Specialist (CPAML)



Cost:

\$895 Nonmembers
\$795 FIBA Members
\$695 Government



Certificate Completion & Continuing Education Credits

Participants will receive a certificate of course completion at the conclusion of the course, as well as 7 Continuing Education credits for AML.



FIBA Referral Program for New Participants

This is an appreciation program for professionals who want to boost their career to another level. Benefit from your registration by referring your colleagues who enroll in one of our virtual programs. For more information please send an email at cmolano@fiba.net



Online

Correspondent Banking AML Certificate Program

Continuing Education Credits: 7 Credits

The risks posed by correspondent banking are of concern to regulators, bankers, and broker-dealers in securities alike. U.S. financial institutions have faced severe penalties as a result of their foreign correspondent banks having weak BSA/AML compliance programs. The various sections of the USA PATRIOT Act and implementing regulations in the Bank Secrecy Act have been in final form of a number of years now.



For

- U.S. financial institutions offering correspondent banking
- Foreign financial institutions which have or are seeking U.S. correspondent banking relationships



Key Learning Objectives:

- Practical applications of the regulatory requirements (particular emphasis on nested accounts)
- U.S. financial institutions: Practical knowledge to apply to their correspondent compliance programs.
- Foreign financial institution: gain a better understanding and appreciation for the requirements of the correspondent bank and be better able to demonstrate its compliance program and contract requirements.



The online courses are an interactive option design for participants interested in completing the certificate at their own pace. Participants will have 60 days* to complete the course by reading all course materials, viewing the videos and completing the quizzes.

*Please note that if registration was made after the course commencement date, participants will have less than 60 days to complete the course



Instructor: Ms. Fox has gained over 20 years of practical international, domestic and regulatory bank experience in the areas of private banking, credit and international bank examinations. She entered private practice and developed In Compliance We Trust Consulting, LLC (InCWet). Through her practice, Ms. Fox leads all-encompassing BSA and AML compliance programs – including transaction monitoring, client risk rating methodologies, OFAC procedures and KYC & EDD guidelines. In addition, she conducts employee training, performs BSA and OFAC risk assessments, and 314a and regulatory reports. She also manages and oversees KYC & EDD file remediation projects and GLBA, non-deposit investment product suitability and risk management.



Cost:

\$895 Nonmembers
\$795 FIBA Members
\$695 Government



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Online

OFAC Sanctions Certificate

Continuing Education Credits: 4 Credits

You will explore the laws and regulations under which sanctions programs are created to mitigate the risks of doing business with persons, entities or jurisdictions that threaten the health and stability of the financial system. The course will focus on understanding the U.S. Office of Foreign Assets Control (otherwise known as OFAC) and other sanctions regimes, as well as necessary actions that should be taken for listed persons and places.

FIBA's OFAC Course covers Economic and Trade Sanctions compliance



Key Learning Objectives:

- Discover the purpose of international sanctions programs and role that OFAC plays
- Learn to identify persons subject to US sanctions policy
- Explore key elements in identifying various types of OFAC lists and designations
- Apply the steps financial institutions are required to take under the economic and trade sanctions policy
- Understand the requirements of the Framework for OFAC Compliance commitments



The online courses are an interactive option design for participants interested in completing the certificate at their own pace. Participants will have 30 days* to complete the course by reading all course materials, viewing the videos and completing the quizzes.

*Please note that if registration was made after the course commencement date, participants will have less than 30 days to complete the course.



Instructor: Isabelle Wheeler, CFA, AMLCA, has more than 30 years of experience working for and with financial institutions. Her career began in wealth management, working at well-known financial institutions, including Citibank, Chase Manhattan Bank, Banco Santander and BNP Paribas. Her career progressed from relationship manager, to investment advisor, Director of Products and Services and Director of Marketing and Sales. In 2014 she began consulting with those same financial institutions to help them manage risks in the areas of BSA/AML and OFAC, fiduciary risks and providing training to industry professionals. She recently joined Foodman CPAs and Advisors, a full-service accounting firm specializing in forensic accounting, financial services industry compliance and tax consulting services as Director of Anti-Money Laundering (AML) Compliance.



Cost:

\$795 Nonmembers
\$695 FIBA Members
\$595 Government



Certificate Completion & Continuing Education Credits

Participants will receive a certificate of course completion at the conclusion of the course, as well as 4 Continuing Education credits for AML.



FIBA Referral Program for New Participants

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Online

CERTIFIED WEALTH MANAGEMENT ASSOCIATE (CWMA)

Learning Outcomes Once Completing the Program

- Identify and analyze products and services of the Heritage Management business.
- Understand operational requirements of the business and the work of the management staff to meet the needs of customers.
- Understand the regulatory framework that regulates the business and the role of each wealth management professional, ensuring full compliance.



Course Outline:

- Introduction to Wealth Management
- Wealth Management Products
- Building Client Portfolios
- Wealth Planning
- Operational and Regulatory Requirements
- Role Playing Scenarios



Eligibility/Preparation

Participants should work in a relationship manager role or from other support staff that need to understand the business of wealth management. After the first day of class, attendees are expected to complete a review packet and return it the following day.



Instructor: Isabelle Wheeler, CFA, AMLCA, has more than 30 years of experience working for and with financial institutions. Isabel has worked at esteemed financial institutions, including Citibank, Chase Manhattan Bank, Banco Santander and BNP Paribas. Her career progressed from relationship manager with clients in Latin America, to investment advisor, Director of Products and Services and Director of Marketing and Sales. She has been recognized for her leadership skills and is a regular panelist for industry conferences.



Cost:

\$1,395 Nonmembers
\$1,195 FIBA Members
\$ 995 Government



Certification & Continuing Education Credits

Participants are required to take a final exam and must pass with a score of 70% or higher to earn FIBA's CWMA certification.

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UNIVERSITY

Online

CERTIFIED WEALTH MANAGEMENT PROFESSIONAL (CWMP)

Learning Outcomes Once Completing the Program

- Understand the discernment process of the clients' investment objectives and alternatives in order to become their trusted financial advisor
- Demonstrate the ability to create comprehensive investment plans for clients
- Understand the regulatory framework of the business and the role played by each wealth management professional



Course Outline:

- Understanding Financial Markets
- Economic Concepts and Indicators
- Wealth Management Products
- Portfolio Management
- Wealth Planning
- Regulatory Framework
- Managing Clients



Eligibility/Preparation

Participants should be employed in the financial services industry for at least 3 years in a client-facing position and have earned the Certified Wealth Management Associate (CWMA) designation. Participants must understand the basics of financial markets, wealth management products and operational requirements.



Instructor: Isabelle Wheeler, CFA, AMLCA, has more than 30 years of experience working for and with financial institutions. Isabel has worked at esteemed financial institutions, including Citibank, Chase Manhattan Bank, Banco Santander and BNP Paribas. Her career progressed from relationship manager with clients in Latin America, to investment advisor, Director of Products and Services and Director of Marketing and Sales. She has been recognized for her leadership skills and is a regular panelist for industry conferences.



Cost:

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\$1,395 FIBA Members
\$1,195 Government



Certification & Continuing Education Credits

Participants are required to take a final exam and must pass with a score of 70% or higher to earn FIBA's CWMP certification.