



**CERTIFIED COMPLIANCE  
MANAGER**

**CCM**  
**CANDIDATE  
HANDBOOK**

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UNLOCK THE PINNACLE OF EXPERTISE IN COMPLIANCE AND ANTI-MONEY LAUNDERING WITH THE CERTIFIED COMPLIANCE MANAGER (CCM) PROGRAM. RENOWNED AS ONE OF THE MOST ADVANCED AND COMPREHENSIVE CERTIFICATES IN THE FIELD, CCM EMPOWERS YOU TO NAVIGATE COMPLEX REGULATORY LANDSCAPES, MASTER CUTTING-EDGE TECHNOLOGIES, AND LEAD WITH CONFIDENCE IN ENSURING FINANCIAL INTEGRITY AND COMPLIANCE. ELEVATE YOUR CAREER WITH THE CCM CERTIFICATION  
- WHERE EXPERTISE MEETS EXCELLENCE -

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# ABOUT CCM

The Certified Compliance Manager (CCM) program offers a comprehensive and dynamic learning experience in the fields of Customer Onboarding and Know Your Customer (KYC), Anti-Money Laundering (AML) and Countering the Financing of Terrorism (CFT), International Sanctions and Embargoes, Regulatory Compliance Management, and FATCA & CRS.

Participants will delve into crucial aspects of compliance, gaining expertise in identifying real beneficiaries, detecting Politically Exposed Persons (PEPs), and conducting due diligence based on a risk-based approach. The curriculum also encompasses vital topics such as determining customer tax status (FATCA & CRS), understanding customer risk rating processes, and navigating the intricacies of account opening workflows. Moreover, participants will explore cutting-edge technologies, including digital identity, and gain invaluable insights into Anti-Money Laundering (AML) best practices.

This program empowers learners to analyse the evolution of money and financial technologies, with a focus on Virtual Currencies & Virtual Assets. Through a blend of theory and practical application, participants will master intelligent due diligence and investigation techniques, leveraging advanced technologies like Robotic Process Automation and Artificial Intelligence in the realm of Fintech. Additionally, the program equips individuals with the skills to establish robust systems and processes for risk rating, transaction monitoring, investigations, case management, and reporting for money laundering.

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# ABOUT CCM

The Sanctions and Embargoes chapter provides a comprehensive understanding of global sanctions compliance, covering key processes such as customer onboarding, SWIFT payments, and other financial products and services. Participants will also become adept at risk assessments and identifying red flags related to sanctions and proliferation finance.

The Regulatory Compliance Management module equips individuals with the knowledge and skills necessary to ensure regulatory adherence and minimise compliance risks. This includes understanding the scope of the Compliance Department, distinguishing between Internal Audit reviews and Compliance examinations, determining the optimal placement of the Compliance function within an organisational chart, and building effective regulatory compliance programs.

Lastly, the FATCA and CRS chapter imparts essential knowledge on implementing FATCA and CRS standards within financial institutions, covering aspects of registration, documentation, reporting, and providing real-world case studies for practical application.

Join the CCM program to gain unparalleled expertise in KYC compliance and regulatory adherence.

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# ABOUT GCI

GCI is an International Financial Crime Prevention and Compliance Training Institute. We specialise in Compliance and combatting Financial Crime, including Anti-Money Laundering and Counter-Terrorism Financing. As well as KYC, Sanctions and Embargoes, Regulatory Compliance Management, FATCA and CRS.

GCI is a recognised independent accreditation institute compatible with global CPD principles.



# OUR MISSION

Delivering anti-financial crime training to compliance and AML professionals across the globe. Providing the latest expertise through our cutting-edge, hassle-free learning platform. Helping students boost their careers through study programs that fit around their schedule, giving them the confidence and practical know-how to apply their expertise in their workplace and protect their business.





# LEARNING OBJECTIVES

## Chapter One: Customer Onboarding and KYC

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- Understand the fundamentals of Know Your Customer (KYC) and its significance in compliance.
- Familiarise yourself with the specific requirements for onboarding individual and corporate accounts.
- Learn to apply a risk-based approach in conducting Customer Due Diligence (CDD).
- Identify key risk rating factors, including customer type, geographical location, and product/services offered.
- Gain insights into effective account opening processes and their subsequent management.
- Explore the integration of online customer onboarding and digital identity verification for streamlined compliance procedures.

## Chapter Two: Anti-Money Laundering and Counter-Terrorism Financing

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- Gain a comprehensive understanding of the foundational principles of financial crimes.
- Explore the impact of financial technology on money laundering and financial crime.
- Learn about Transaction Monitoring Systems (TMS) and how they play a crucial role in detecting suspicious activities.
- Delve into the world of virtual currencies and virtual assets, and their implications for AML efforts.



# LEARNING OBJECTIVES

- Study the methods employed by criminals to obscure the anonymity of transactions on blockchain technology.
- Examine specific considerations related to anti-money laundering and counter-terrorism financing within the securities sector.
- Understand the complexities of money laundering in the financial sector.
- Explore topics such as correspondent banking, Payable Through Accounts (PTA), and nesting in the context of AML efforts.

## Chapter Three: International Sanctions and Embargoes

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- Understand the fundamentals of sanctions and counter-proliferation finance.
- Gain insights into the international context surrounding sanctions and embargoes.
- Learn about key processes, including customer onboarding, account opening, SWIFT messaging in banking, trade transactions, and other products/services.
- Explore systems like Computer Assisted Audit Techniques (CAATs) and name screening algorithms to enhance compliance.
- Familiarize with reporting structures for violations in the context of international sanctions and embargoes.





# LEARNING OBJECTIVES

## Chapter Four: Regulatory Compliance Management

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- Gain practical insights into the functioning of the compliance department.
- Understand the development and implementation of compliance policies.
- Learn about the compliance monitoring and examination process, including Request for Information (RFI), Periodic Regulatory Reports, Regulatory Inventory Matrix (RIM), Regulatory Control Matrix (RCM), and Compliance Examinations.
- Explore the critical process of compliance risk assessment for effective regulatory adherence.

## Chapter Five: FATCA & CRS

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- Learn the intricacies of FATCA implementation, focusing on documentation and due diligence procedures.
- Familiarise yourself with the various FATCA documentation forms, including Form W-9, W-8BEN, and W-8BEN-E.
- Understand the reporting requirements for FATCA, including the preparation of different types of reports (e.g., Reporting entity Information, Account Holder or Payee Information, Owner Information/Shareholder Reporting, Financial Information, Pooled Reporting, Nil Reporting).
- Explore the Common Reporting Standards (CRS), including its definition, information collection process in participating jurisdictions, and the types of institutions considered financial institutions under CRS.

# SYLLABUS



## *CHAPTER ONE: CUSTOMER ONBOARDING AND KNOW YOUR CUSTOMER (KYC)*

- SECTION ONE: WHAT IS KNOW YOUR CUSTOMER (KYC)
- SECTION TWO: CUSTOMER ONBOARDING REQUIREMENTS
- SECTION THREE: RISK-BASED APPROACH IN CUSTOMER DUE DILIGENCE
- SECTION FOUR: ACCOUNT OPENING PROCESSES AND MANAGEMENT
- SECTION FIVE: ONLINE CUSTOMER ONBOARDING AND DIGITAL IDENTITY

## *CHAPTER TWO: ANTI-MONEY LAUNDERING AND COUNTER-TERRORISM FINANCING*

- SECTION ONE: FINANCIAL CRIME PRINCIPLES
- SECTION TWO: FINTECH & THE EVOLUTION OF MONEY AND FINANCIAL CRIME
- SECTION THREE: SECURITIES SECTOR
- SECTION FOUR: MONEY LAUNDERING IN THE FINANCIAL SECTOR

## *CHAPTER THREE: INTERNATIONAL SANCTIONS AND EMBARGOES*

- SECTION ONE: WHAT SANCTIONS & COUNTER-PROLIFERATION FINANCE ARE
- SECTION TWO: INTERNATIONAL CONTEXT
- SECTION THREE: PROCESSES
- SECTION FOUR: SYSTEMS
- SECTION FIVE: REPORTING



# SYLLABUS



## *CHAPTER FOUR: REGULATORY COMPLIANCE MANAGEMENT*

- SECTION ONE: THE PRACTICAL ASPECT OF THE COMPLIANCE FUNCTION
- SECTION TWO: COMPLIANCE POLICIES
- SECTION THREE: COMPLIANCE MONITORING AND EXAMINATION PROCESS
- SECTION FOUR: COMPLIANCE RISK ASSESSMENT

## *CHAPTER FIVE: FATCA & CRS*

- SECTION ONE: FATCA AGREEMENTS & SCOPE
- SECTION TWO: FATCA IMPLEMENTATION (DOCUMENTATION & DUE- DILIGENCE)
- SECTION THREE: FATCA REPORTING
- SECTION FOUR: COMMON REPORTING STANDARDS (CRS)

**TAX**

**COMPLIANCE**

# TARGETED CANDIDATES



## **WORKERS IN THE COMPLIANCE AND ANTI-MONEY LAUNDERING FIELD IN THE FOLLOWING SECTORS:**

- Banking Industry
- Insurance and reinsurance Companies
- Brokerage Firms
- Leasing and Microfinance Companies
- Lending Firms
- Credit Unions
- Exchange Houses and Money Service Business



## **WORKERS IN THE SUPERVISORY AUTHORITIES, E.G.:**

- Central Banks
- Financial Sector Regulatory Authorities
- Financial Intelligence Units FIUs
- Tax Authorities
- Related Ministries and government bodies



## **WORKERS AT (COMPLIANCE AND AML) SOLUTIONS VENDORS**



# EXAMINATION PROCESS



GCI's examination process is set to the highest standards, allowing the candidate to schedule their exam with a click of a button at a time that suits them.

## ***Online proctored exam at home or office***



Exam Duration: 180 Minutes



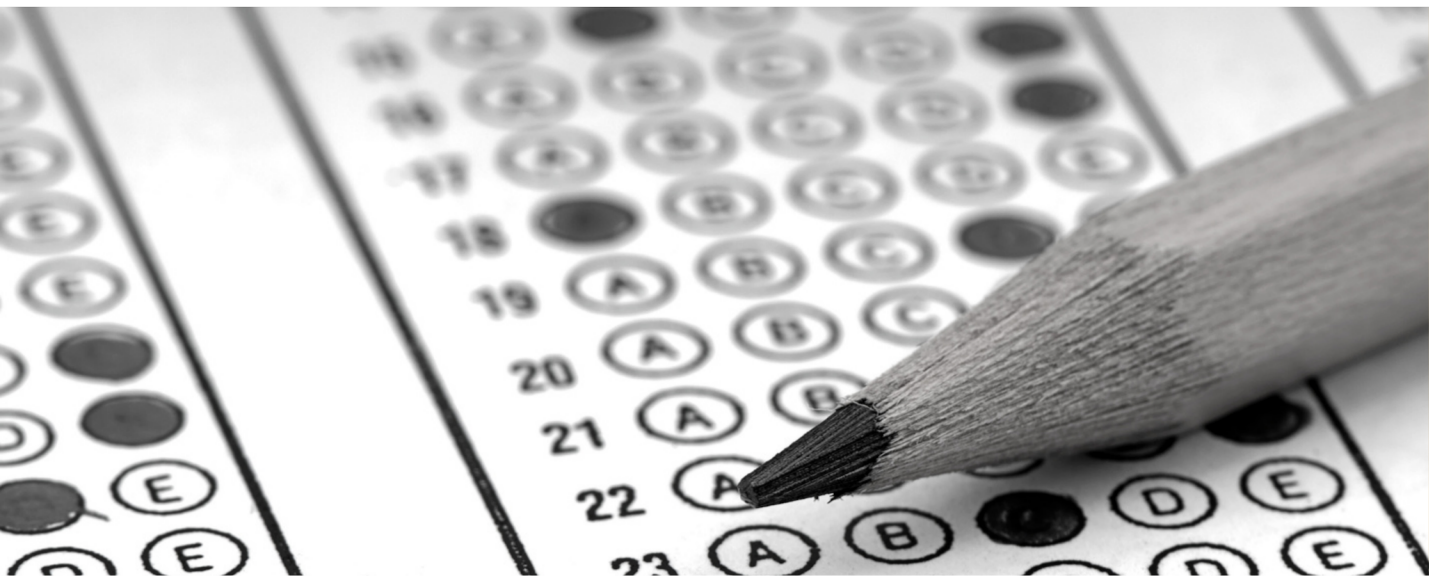
Practice questions that simulate the actual exam.



Number of EXAM Questions: 150 Question



Pass Mark: 75%





# EXAM PREPARATION

Candidates have two options to register in any of the GCI programs:

## **Option 1: Self-Study**

### **Take the online proctored exams at home.**

GCI's examination process is set to the highest standards. Our students gain access to our easy-to-navigate online portal, where they can download their certificate study guide (e-book) in their selected language. undertake the practice questions as much as needed.

Once the candidate is ready to sit the assessment, they can schedule their online proctored exam with a click of a button through their membership area and undertake the exam any time and anywhere. Our assessment platform is usually available 24/7.

- *Anticipated reading hours: 83 Hours*
- *Anticipated Studying hours: 166 Hours*

## **Option 2: Instructor-led program by a GCI-accredited trainer or training centre.**

GCI could arrange an instructor-led program for groups (10+ participants), whether virtually or in person (as available), by our faculty members and our accredited training centres around the globe.

- *Training hours: 40 Hours*
- *Anticipated Studying hours: 83 Hours*



# EXAM PREPARATION



The CCM exam covers five chapters, each accounting for an approximate percentage of the exam questions.

CHAPTER		PERCENTAGE
<b>CHAPTER 1</b>	Customer Onboarding and Know your Customer (KYC)	26%
<b>CHAPTER 2</b>	Anti-Money Laundering and Counter-Terrorism Financing	24%
<b>CHAPTER 3</b>	INTERNATIONAL SANCTIONS AND EMBARGOES	21%
<b>CHAPTER 4</b>	Regulatory Compliance Management	12%
<b>CHAPTER 5</b>	FATCA & CRS	17%
<b>TOTAL</b>		<b>100%</b>



# AFTER THE EXAM



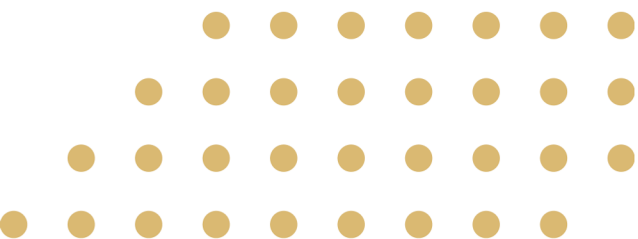
ONCE YOU PASS THE EXAM YOU WILL RECEIVE:



## 01. Digital Badge

Your digital badge is a web-enabled version of your certification and learning outcome, which can be verified in real-time online by your employer, friends and colleagues. It shows the skills you have and how did you earn them. You can also share it easily on professional networking platforms like LinkedIn and else.

## 02. E-Certificate





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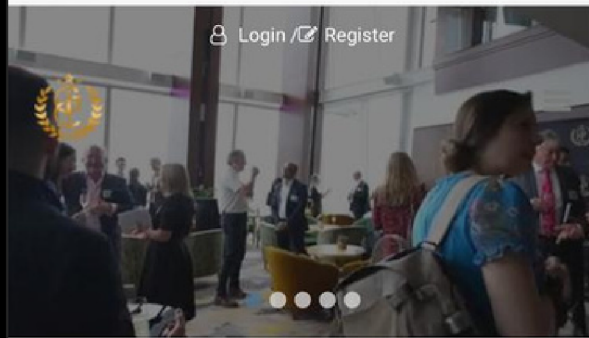
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BROADCASTING THE KNOWLEDGE OF COMPLIANCE AND  
AML TO THE GLOBE

## Global Compliance Institute

Develop Your Dream Career with GCI.

is an International Financial Crime Prevention and  
Compliance Training Institute based in Australia but operating  
globally. We specialise in Compliance and combatting Financial  
Crime, including Anti-Money Laundering and Counter-Terrorism  
Financing.

In addition to KYC, Sanctions and Embargoes, Regulatory  
Compliance Management, FATCA and CRS.

Register Now