

AUDITING AND GOVERNANCE RISK AND COMPLIANCE | COURSE BROCHURE

Auditing Anti-Money Laundering Programmes

5 days | Classroom training | English

SMART HORIZON

info@smart-horizon.eu
Amsterdam
The Netherlands

Explore current programmes

https://smart-horizon.eu



Course content

Why attend

Regulated firms must maintain effective anti-money laundering programmes and independent testing. This course covers auditing AML programmes: risk assessment, policies, customer due diligence, transaction monitoring, sanctions screening, suspicious activity reporting, training and governance.

Regulators expect robust independent testing of AML controls. You will learn how to plan and perform effective AML audits.

Professional Problems This Course Is Designed to Solve

• Difficulty translating subject knowledge into practical workplace decisions.
• Inconsistent approaches to the activities covered in the course outline.
• Lack of a structured plan for applying and reviewing new skills.

Course methodology

Audit programme design, file testing exercises, monitoring scenario reviews and case studies of enforcement actions.

Course objectives

By the end of this course, participants will be able to:
• Understand AML regulatory expectations
• Audit the AML risk assessment
• Test customer due diligence files
• Evaluate transaction monitoring and alerts
• Review sanctions screening and reporting
• Assess training and governance

Target audience

This course is suitable for:
• Internal auditors in financial services
• AML compliance officers
• Risk managers
• Regulators' staff
• Audit managers



Course content

Target competencies

Participants will develop competencies in:

- Regulatory knowledge
- File testing
- Monitoring evaluation
- Screening review
- Reporting

Course outline

Day 1: AML Framework

09:00–10:08	Regulations
10:08–11:00	Programme elements
11:00–11:30	**Coffee break**
11:30–11:45	Programme elements (continued)
11:45–12:53	Audit approach
12:53–14:00	Exercise

Day 2: Risk Assessment and Policies

09:00–10:08	Enterprise risk assessment
10:08–11:00	Policies
11:00–11:30	**Coffee break**
11:30–11:45	Policies (continued)
11:45–12:53	Governance
12:53–14:00	Workshop

Day 3: Customer Due Diligence

09:00–10:08	KYC files
10:08–11:00	Enhanced due diligence
11:00–11:30	**Coffee break**



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11:30–11:45	Enhanced due diligence (continued)
11:45–12:53	Testing
12:53–14:00	Exercise

Day 4: Monitoring and Screening

09:00–10:08	Transaction monitoring
10:08–11:00	Alert handling
11:00–11:30	**Coffee break**
11:30–11:45	Alert handling (continued)
11:45–12:53	Sanctions screening
12:53–14:00	Case study

Day 5: Reporting and Training

09:00–10:08	Suspicious activity reports
10:08–11:00	Training
11:00–11:30	**Coffee break**
11:30–11:45	Training (continued)
11:45–12:53	Findings
12:53–14:00	Action plan

The timings provided are estimates and may vary depending on the number of participants and the discussions taking place during the sessions. They are indicative only and do not constitute a binding commitment.



Course content

Dates, venues and fees

Current published course plans. Fees are per participant in EUR, excluding unconfirmed taxes.

Venue	Start date	End date	Fee (EUR)
Vienna Confirmed dates	9 Nov 2026	13 Nov 2026	**€2,940.–**
Online Confirmed dates	9 Nov 2026	13 Nov 2026	**€1,250.–**
London Confirmed dates	23 Nov 2026	27 Nov 2026	**€2,450.–**
Online Confirmed dates	23 Nov 2026	27 Nov 2026	**€1,250.–**
Barcelona Confirmed dates	14 Dec 2026	18 Dec 2026	**€2,840.–**
Online Confirmed dates	14 Dec 2026	18 Dec 2026	**€1,250.–**
Kuala Lumpur Confirmed dates	18 Jan 2027	22 Jan 2027	**€1,450.–**
Online Confirmed dates	18 Jan 2027	22 Jan 2027	**€1,250.–**
Rome Confirmed dates	8 Feb 2027	12 Feb 2027	**€2,450.–**



Course content

Dates, venues and fees (continued)

Venue	Start date	End date	Fee (EUR)
Online Confirmed dates	8 Feb 2027	12 Feb 2027	**€1,250.–**
Dubai Confirmed dates	1 Mar 2027	5 Mar 2027	**€3,150.–**
Online Confirmed dates	1 Mar 2027	5 Mar 2027	**€1,250.–**
Amsterdam Confirmed dates	15 Mar 2027	19 Mar 2027	**€2,540.–**
Online Confirmed dates	15 Mar 2027	19 Mar 2027	**€1,250.–**
Istanbul Confirmed dates	5 Apr 2027	9 Apr 2027	**€2,650.–**
Online Confirmed dates	5 Apr 2027	9 Apr 2027	**€1,250.–**
Vienna Confirmed dates	26 Apr 2027	30 Apr 2027	**€2,940.–**
Online Confirmed dates	26 Apr 2027	30 Apr 2027	**€1,250.–**



Course content

Dates, venues and fees (continued)

Venue	Start date	End date	Fee (EUR)
Dubai Confirmed dates	17 May 2027	21 May 2027	**€3,150.–**
Online Confirmed dates	17 May 2027	21 May 2027	**€1,250.–**
Frankfurt Confirmed dates	7 Jun 2027	11 Jun 2027	**€2,650.–**
Online Confirmed dates	7 Jun 2027	11 Jun 2027	**€1,250.–**
Rome Confirmed dates	21 Jun 2027	25 Jun 2027	**€2,450.–**
Online Confirmed dates	21 Jun 2027	25 Jun 2027	**€1,250.–**
Dubai Confirmed dates	12 Jul 2027	16 Jul 2027	**€3,150.–**
Online Confirmed dates	12 Jul 2027	16 Jul 2027	**€1,250.–**
Cape Town Confirmed dates	2 Aug 2027	6 Aug 2027	**€1,890.–**



Course content

Dates, venues and fees (continued)

Venue	Start date	End date	Fee (EUR)
Online Confirmed dates	2 Aug 2027	6 Aug 2027	**€1,250.-**
Barcelona Confirmed dates	23 Aug 2027	27 Aug 2027	**€2,840.-**
Online Confirmed dates	23 Aug 2027	27 Aug 2027	**€1,250.-**
Cape Town Confirmed dates	13 Sept 2027	17 Sept 2027	**€1,890.-**
Online Confirmed dates	13 Sept 2027	17 Sept 2027	**€1,250.-**
London Confirmed dates	27 Sept 2027	1 Oct 2027	**€2,450.-**
Online Confirmed dates	27 Sept 2027	1 Oct 2027	**€1,250.-**
Rome Confirmed dates	18 Oct 2027	22 Oct 2027	**€2,450.-**
Online Confirmed dates	18 Oct 2027	22 Oct 2027	**€1,250.-**



Course content

Dates, venues and fees (continued)

Venue	Start date	End date	Fee (EUR)
Paris Confirmed dates	8 Nov 2027	12 Nov 2027	**€2,860.-**
Online Confirmed dates	8 Nov 2027	12 Nov 2027	**€1,250.-**
Cape Town Confirmed dates	29 Nov 2027	3 Dec 2027	**€1,890.-**
Online Confirmed dates	29 Nov 2027	3 Dec 2027	**€1,250.-**

Plan your next step

Dates, availability, exact venue, taxes, inclusions and payment terms require written confirmation. This brochure is not a quotation, registration, booking confirmation or visa invitation. Participants receive a Smart Horizon certificate of attendance; programmes are not externally accredited and do not award a professional qualification or designation. Confirm arrangements before booking travel.

For group or in-house training, contact our learning team to discuss your objectives and delivery arrangements.

Contact Smart Horizon

info@smart-horizon.eu
Amsterdam
The Netherlands

View the latest course details online