

SILA COURSE DESCRIPTION/OUTLINE: *AML Programs for the Retail Registered Representative*

AML Programs for the Retail Registered Representative - Under industry rules and regulations, firms are required to adopt and enforce adherence to an anti-money laundering (AML) compliance program. This course explores those rules and regulations and discusses the program development and required compliance and monitoring for registered representatives and associated persons.

Upon completion of this course, you should understand:

- money laundering schemes;
- how to identify potential money laundering schemes;
- industry AML requirements; and
- your compliance, identification and reporting obligations.