# FINANCIAL CRIME PREVENTION AND INVESTIGATION



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# Introduction

Financial Crime Prevention and Investigation Training Course builds the prevention and investigative capability that compliance officers, fraud examiners, and internal investigators need to protect an organisation from financial crime. Prevention and investigation are one chain. Controls stop what can be stopped, detection finds what got through, and investigation establishes what happened and who is responsible. Weak practice at any link produces undetected losses, failed prosecutions, and controls that repeat the same gaps. This course develops the discipline that closes those gaps. It covers prevention frameworks, detection controls, and investigation methods. Furthermore, it applies fraud examination technique, evidence handling, and interview practice. In addition, it develops reporting, recovery, and control remediation. As a result, participants prevent and investigate financial crime with confidence.

# Financial Crime Prevention and Investigation Course Objectives

- Explain financial crime types and organisational exposure.
- Design prevention controls and anti-fraud control frameworks.
- Apply the fraud triangle and fraud risk assessment methods.
- Identify red flags across procurement, payments, and payroll.
- Apply data analytics and anomaly detection to fraud detection.
- Plan and conduct financial crime investigations.
- Apply evidence collection, chain of custody, and documentation standards.
- Conduct investigative interviews and obtain statements.
- Apply loss quantification and asset recovery techniques.
- Prepare investigation reports, referrals, and control remediation plans.

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## Course Methodology

- Interactive lectures with real fraud prevention and investigation cases.
- Fraud risk assessment and control design workshops.
- Data analytics and red flag detection exercises.
- Evidence, interview, and investigation reporting practice.
- Structured peer review with facilitator feedback on investigation files.

## Who Should Take This Course

- Fraud examiners and financial crime investigators.
- Internal auditors and control professionals.
- Compliance and ethics officers.
- Law enforcement and regulatory investigators.
- Finance and procurement managers with control duties.
- Consultants advising on fraud risk and investigation.

## Financial Crime Prevention and Investigation Course Outlines

### Day 1: Financial Crime Types and Organisational Exposure

- Fraud, corruption, bribery, and asset misappropriation.
- Money laundering and terrorist financing interfaces.
- Cyber-enabled fraud and payment fraud typologies.

- Insider threat and collusion risk.
- Financial crime exposure by industry and process.
- The cost of fraud: direct loss, response, and reputational damage.
- Case study: assessing organisational exposure to financial crime.

## Day 2: Prevention Framework and Control Design

- The fraud triangle: pressure, opportunity, and rationalisation.
- Fraud risk assessment and risk register construction.
- Anti-fraud control framework design and governance.
- Preventive, detective, and corrective control layers.
- Segregation of duties and authorisation design.
- Code of conduct, whistleblowing, and ethics programmes.
- Workshop: designing an anti-fraud control framework.

## Day 3: Detection, Red Flags, and Data Analytics

- Red flags in procurement, payables, expenses, and payroll.
- Vendor fraud, ghost employees, and expense manipulation indicators.
- Data analytics techniques for fraud detection.
- Benford's Law and duplicate payment testing.
- Anomaly detection and outlier analysis.
- Continuous monitoring and alert management design.
- Workshop: running fraud data analytics on a transaction dataset.

## Day 4: Investigation Planning and Evidence

- Investigation triggers, triage, and case acceptance.

- Investigation planning, scope, and terms of reference.
- Evidence types, collection, and preservation.
- Chain of custody and documentation standards.
- Digital evidence and forensic data handling basics.
- Covert methods, surveillance limits, and legal boundaries.
- Workshop: planning an investigation and building an evidence log.

## Day 5: Interviewing, Reporting, and Remediation

- Interview preparation, questioning technique, and statement taking.
- Admission handling and credibility assessment.
- Loss quantification and financial impact assessment.
- Asset tracing and recovery options.
- Investigation report structure and referral preparation.
- Control remediation, disciplinary action, and lessons learned.
- Course review, assessment, and action planning.

## Conclusion

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By successfully completing Financial Crime Prevention and Investigation, participants will gain a thorough understanding of financial crime types and organisational exposure, prevention frameworks and control design, detection, red flags and data analytics, investigation planning and evidence, and interviewing, reporting and remediation. They will also acquire practical skills in financial crime risk assessment and anti-fraud control design, fraud red flag identification and data analytics detection, investigation planning, evidence collection and chain of custody management, and investigative interviewing, loss quantification and investigation reporting. In addition, the course prepares them to prevent financial crime systematically and investigate it to an evidential standard. Gentex Training Center delivers this programme with a strong focus on applied investigation practice and audit-ready case files.

# FAQs for Financial Crime Prevention and Investigation course

## Q1 What is the "Financial Crime Prevention and Investigation" course about?

It is a five-day programme on preventing financial crime and investigating it when it occurs. It covers crime types and exposure, prevention frameworks and control design, detection and data analytics, investigation planning and evidence, and interviewing, reporting and remediation.

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## Q2 What are the key benefits of the "Financial Crime Prevention and Investigation" course?

Participants prevent losses systematically and investigate them to an evidential standard. The course improves fraud risk assessment and control design, sharpens red flag identification and analytics detection, strengthens investigation planning and evidence handling, improves interview and statement quality, and raises reporting and remediation standards.

## Q3 What skills will I gain from the "Financial Crime Prevention and Investigation" course?

Participants gain financial crime risk assessment and anti-fraud control design, fraud red flag identification and data analytics detection, investigation planning, evidence collection and chain of custody management, and investigative interviewing, loss quantification and investigation reporting. These four skills cover the practical core of this work.

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## Q4 What tools, methods, or standards are covered in the "Financial Crime Prevention and Investigation" course?

The course covers fraud, corruption, bribery and asset misappropriation typologies, money laundering and terrorist financing interfaces, cyber-enabled and payment fraud, insider threat and collusion risk, the fraud triangle of pressure, opportunity and rationalisation, fraud risk assessment and risk register construction, anti-fraud control framework design, preventive, detective and corrective control layers, segregation of duties and authorisation design, codes of conduct and whistleblowing programmes, red flags in procurement, payables, expenses and payroll, vendor fraud, ghost employee and expense manipulation indicators, fraud data analytics techniques, Benford's Law testing, duplicate payment testing, anomaly detection and outlier analysis, continuous monitoring and alert management, investigation triggers and case triage, investigation planning and terms of reference, evidence types, collection and preservation, chain of custody and documentation, digital evidence and forensic data handling, surveillance limits and legal boundaries, interview preparation and questioning technique, statement taking and credibility assessment, loss quantification, asset tracing and recovery options, investigation report structure, referral preparation, and control remediation planning.

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## Q5 How is the "Financial Crime Prevention and Investigation" course applied in real-world practice?

Participants apply the methods to real and simulated cases. They assess organisational exposure, run fraud risk assessments and build risk registers, design layered anti-fraud controls with segregation of duties, run data analytics including Benford's Law and duplicate payment testing, triage alerts and investigate red flags, plan investigations with terms of reference, collect and preserve evidence with documented chain of custody, handle digital evidence, conduct investigative interviews and take statements, quantify losses, trace assets for recovery, prepare investigation reports and referrals, and design control remediation plans. Many leave with a fraud risk assessment template, a data analytics testing checklist, and an investigation file structure ready to use.