



REFERENCE STUDY GUIDE GOLD CATEGORY



CSA - CERTIFICATION FOR SPECIALIST IN ANTI MONEY LAUNDERING



GOLD CATEGORY

EXAM: CSA INTERNATIONAL

The Gold Category is intended for professionals in the AML-CTF field interested in demonstrating international proficiency in the fundamental concepts of Anti-Money Laundering, Countering the Financing of Terrorism, and Countering the Proliferation of Weapons of Mass Destruction, including international regulations and sanctions related to the subject.

To assist candidates in preparing for the Certification Exam, this Study Guide outlines the topics that will be covered in the Gold Category exam and provides the main bibliographic references used in the development of the assessment.

Exam	Number of Questions	Language	Duration	Minimum Approval Score
CSA International	90	Portuguese, English or Spanish	3h (180 min)	63



SYLLABUS:

1. BASIC CONCEPTS (44%):

- Money Laundering: concept, criminal offenses, typologies, stages, criminalization, related crimes, penalty, previous crimes;
- Terrorist Financing: concept, typologies, criminalization;
- Proliferation of Weapons of Mass Destruction;
- Politically Exposed Persons (PEPs);
- Risk-Based Approach:
 - Virtual Assets and Virtual Asset Service Providers: International Guidelines for a Risk-Based Approach;
- Preventive Measures:
 - Know Your Customer (KYC), Know Your Supplier (KYS), Know Your Partner (KYP), Know Your Employee (KYE);
 - Record Keeping;
 - Internal Controls;
 - Suspicious Transactions Reporting;
- Financial Intelligence Units (FIUs);
- Financial Action Task Force (FATF), and the Global Network to Prevent Money Laundering and the Financing of Terrorism and the Proliferation of Weapons of Mass Destruction (AML-FTP) (GAFILAT, GAFIC, Moneyval, EAG, etc);
- The Egmont Group of Financial Intelligence Units.



2. RULES AND OTHER INTERNATIONAL LEGAL INSTRUMENTS (50%):

- United Nations Convention Against Illicit Traffic in Narcotic Drugs and Psychotropic Substances, 1988 (Vienna Convention);
- United Nations Convention Against Transnational Organized Crime, 2001 (Palermo Convention);
- United Nations Convention Against Corruption, 2003 (Mérida Convention);
- United Nations Convention for the Suppression of the Financing of Terrorism, 1999;
- Organization for Economic Cooperation and Development (OECD) Convention Against Bribery, 1997;
- Financial Action Task Force (FATF) 40 Recommendations.

3. TARGETED FINANCIAL SANCTIONS RELATED TO TERRORISM FINANCING (6%):

- United Nations Sanctions;
- Individual Country National Sanctions as per United Nations Security Council Resolution 1372: Office of Foreign Assets Control (OFAC), and European Union (EU).



REFERENCES:

The references listed below are suggested materials that the candidate should be familiar with for the Gold Category exam. However, the indicated research sources serve as a minimum criterion, and the candidate should not limit themselves to them when preparing for the exam.

1. BASIC CONCEPTS:

- Statement of Purpose of the Egmont Group of Financial Intelligence Units;
- Directive (EU) 2015/849 of the European Parliament and of the Council of 20 May 2015 on the prevention of the use of the financial system for the purposes of money laundering or terrorist financing;
- Financial Intelligence Units: An Overview (International Monetary Fund);
- Egmont Group of Financial Intelligence Units - Principles for Information Exchange Between Financial Intelligence Units;
- FATF Guidance - Politically Exposed Persons (Recommendations 12 and 22);
- Updated Guidance for a Risk-Based Approach - Virtual Assets and Virtual Asset Service Providers;
- FATF Guidance on the Risk-Based Approach to Combating Money Laundering and Terrorist Financing - High Level Principles and Procedures.

2. RULES AND OTHER INTERNATIONAL LEGAL INSTRUMENTS:

- FATF 40 Recommendations and Interpretative Notes to the FATF 40 Recommendations;
- UN Convention Against Corruption, 2005 (Merida Convention);
- UN Convention Against Transnational Organized Crime, 2001 (Palermo Convention);
- UN Convention Against Illicit Traffic in Narcotic Drugs and Psychotropic Substances, 1988 (Vienna Convention);
- International Convention for the Suppression of the Financing of Terrorism, 1999;
- OECD Convention on Combating Bribery of Foreign Public Officials in International Business Transactions.



3. TARGETED FINANCIAL SANCTIONS RELATED TO TERRORISM FINANCING:

- Resolution 1373 (2001) – UN Security Council;
- UNSC Resolutions which impose targeted financial sanctions in the terrorist financing context:
 - Resolution 1267 (1999); Resolution 1333 (2000); Resolution 1363 (2001); Resolution 1390 (2002); Resolution 1452 (2002); Resolution 1455 (2003); Resolution 1526 (2004); Resolution 1617 (2005); Resolution 1730 (2006); Resolution 1822 (2008); Resolution 1904 (2009); Resolution 1988 (2011); Resolution 1989 (2011).
- UNSC Resolutions which impose targeted financial sanctions in the context of the financing of proliferation of weapons of mass destruction:
 - Resolution 1718 (2006); Resolution 1737 (2006); Resolution 1747 (2007); Resolution 1803 (2008); Resolution 1874 (2009); Resolution 1929 (2010).



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