

Document Checking: KYC Verification & Settlement

Learn to verify KYC and financial documents, handle discrepancies, and manage the settlement process from workflow to reconciliation.

2 Days

8 HOURS

8

MODULES

26

TOPICS

4

HANDS-ON ACTIVITIES

COURSE OVERVIEW

This course covers the fundamentals of document checking, including the importance of accurate verification, checklists for customer identification, KYC and financial documents, and standard operating procedures for reviewing and validating documents. It addresses how to identify discrepancies, escalate unresolved issues, and communicate findings to customers. The course then moves into the settlement process, covering its lifecycle and stakeholders, the workflow for preparing settlement documentation and coordinating with financial institutions, and reconciliation and reporting practices. It concludes with common challenges in settlement and strategies for their resolution.

WHO THIS COURSE IS FOR

Document Checkers

KYC Analysts

Settlement Officers

Compliance Officers

Operations Executives

TOOLS AND REQUIREMENTS

Tools Required

- Video conferencing software with screen-sharing capabilities.
- Access to document templates for practice sessions.

LEARNING OBJECTIVES

- Explain the role of document checking in the TFD process
- Identify key documents required for KYC verification
- Apply a standard operating procedure for document checking
- Identify red flags and discrepancies in documents
- Describe the escalation matrix for unresolved issues
- Explain the settlement lifecycle and key stakeholders
- Plan the workflow for preparing settlement documentation
- Analyse reconciliation practices for settlement reports

Certification

Evaluation

End of each day: Conduct a short quiz to assess understanding.

Certificate of completion upon passing the final assessment.

COURSE SYLLABUS

8 Modules, 26 Topics

DAY 1 Document Checking Fundamentals

4 hours

01

30 minutes

Importance of Document Checking

TOPICS

- Role of accurate document checking in the TFD process
- **Consequences of errors:** operational, legal, and financial
- **Discussion:** Share real-life cases of document-related errors

02

45 minutes

Document Verification Checklist

KEY DOCUMENTS TO VERIFY:

- Customer identification and KYC documents
- Loan agreement or financial contracts
- Supporting documents (income proof, collaterals, etc.)
- Tools and systems used for document checking
- Steps to validate document authenticity

03

60 minutes

Interactive Activity

SOP for Document Checking

STEP-BY-STEP GUIDE TO THE PROCESS:

Receipt of documents · Initial review · Detailed verification · Reporting discrepancies

04

45 minutes

Handling Discrepancies

TOPICS

- Identifying red flags
- Escalation matrix for unresolved issues
- Best practices for communication with customers

DAY 2

Settlement Process

4 hours

01

30 minutes

Introduction to Settlement Process

TOPICS

Definition and importance of settlement · Key stakeholders in the settlement process · Overview of the settlement lifecycle

02

60 minutes

Hands-On Exercise

Workflow of Settlement

DETAILED STEPS IN SETTLEMENT:

- Preparing settlement documentation
- Coordination with banks/financial institutions
- Closure confirmation

03

60 minutes

Case Discussion

Reconciliation and Reporting

RECONCILIATION BEST PRACTICES:

Cross-verifying transaction details · Matching settlement reports with documents
Preparing and presenting settlement reports

04

45 minutes

Activity

Challenges and Solutions

TOPICS

Common challenges in settlement · Strategies for timely resolution

NOTES

Pre-Session Preparation

- Share reading material on document types and settlement basics.
- Provide access to case studies and mock documents for hands-on activities.

HANDS-ON ACTIVITIES

Practise What You Learn

#	MODULE	ACTIVITY
03	SOP for Document Checking	Interactive Activity: Practice reviewing sample documents
02	Workflow of Settlement	Hands-On Exercise: Mapping a settlement case study
03	Reconciliation and Reporting	Case Discussion: Analyze a mock settlement report
04	Challenges and Solutions	Interactive Problem-Solving Activity: Interactive Problem-Solving Activity

WHAT IS INCLUDED

Everything You Need to Succeed

- Koenig course material for every module
- Delivery by certified instructors and subject matter experts
- Hands-on exercises throughout the course
- Course completion certificate from Koenig

Who We Are

Established in 1993, Koenig Solutions is a globally recognised training provider with 35+ technology partnerships, 5,000+ training programmes and a network of certified instructors and subject matter experts, supporting individuals and enterprise teams worldwide.

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