



## COMPLIANCE FUNCTION

(New Developments & Trends)

≡ Seminar ≡

» Designed for front-line staff, branch managers, and compliance officers.

» Two-day training activity.

### OBJECTIVES

To enhance participants' knowledge of their obligations to recognize and understand key compliance items, from both managerial and operational viewpoints, including customer due diligence, fraud preventions, anti-money laundering regulations and procedures concerning local and international operations and transfers.

### MAIN CONTENT

Following my previous email, please find below Seminar contents:

#### Compliance function: roles and organization

##### Introduction to Compliance

- What is corporate compliance?
- Who is responsible for managing it?
- What are the benefits of its introduction?

#### Compliance function vs. other control functions

##### The Regulatory environment and the Role of Regulators

- Regulatory Drivers
- A variety of legal obligations and due diligence
- International responses to the problems of money laundering, economic crime, cyber sabotage and terrorism
- Non compliance and its ramification

##### Understanding your regulatory environment

- Key relationships and dependencies
- The regulators roles and structures

## **Compliance structure: Policies/Procedures/Programs**

### Fostering a culture of accountability

- What is compliance there to identify?
- The role of the compliance professional

## **The link between compliance and corporate governance**

- What is corporate governance?
- Directors responsibilities
- Senior management

## **Identifying, evaluating and measuring risks**

- What is risk management
- Compliance risk
- Impact & probability – the risk map

## **Compliance monitoring**

- Monitoring methodology
- Factors to consider
- Monitoring risk

## **Compliance reporting**

- Frequency & type of reporting
- Actions
- The importance of monitoring performance against existing controls

Case studies/Group exercises

## **Compliance function and ethics**

- What are Ethics?
- Ethics and corporate accountability
- HR Role
- Internal Audit Role
- Compliance Role

### **AML/CTF : principles and organization**

- Definitions
- International Standards
- Aspects
- Case study

### **Limiting market abuse**

- identification of inside information within the issuer and its group
- ensuring fair ring fair trading by members of the management bodies and employees
- proper handling of inside information and prevention of leaks
- ensuring the quality and reliability of compliance procedures, techniques and record-keeping regarding the above
- internal allocation of responsibilities and tasks regarding the above

### **Risk analysis**

- Standard Based Approach
- Risk Based approach
- Implementation RBA
- Outsourcing Solutions

### **Case studies.**