

## Compliance and Governance



496-P25-VE



Virtual



8 hours

### Course Description:

In this course, participants will understand the key compliance issues and the impact of good and poor compliance for your firm and will discuss how compliance is integral to modern banking.

### Target Audience:

The course targets candidates who work in compliance, legal, internal control, and internal audit departments.

### Course Objectives

By the end of the program, participants will be able to:

- Define compliance and its role.
- Describe what is good corporate governance.
- Identify the role of the Compliance Team.
- Explain the main conduct of business rules.
- Identify the conflict of interest.
- Define financial Crime 1: AML.
- Identify Financial Crime 2: Anti-Terrorist Legislation.
- Explain Financial Crime 3: FATCA.

### Course Outline

#### Module 1: Compliance Introduction.

##### Session 1: Role of Compliance

- What is Compliance?
- Who is Responsible for Effective Compliance?
- Principal Tasks of Compliance?
- Role of Compliance.
- Assignment.

#### Module 2: What is good corporate governance?

##### Session 1: Corporate Governance

- Corporate Governance.
- Whistleblowing.
- Case study.
- Assignment.

#### Module 3: The Role of the Compliance Team

##### Session 1: Compliance Risk Management

- Compliance Risk Management (CRM) and Other Key Compliance Functions.
- Compliance as an Advisor.
- Compliance Advisory Services.
- Assignment.

#### Module Four: Conduct of Business

##### Session 1: The Main Conduct of Business Rules

- Main Conduct of Business Rules.
- Client Classification.
- Suitability.
- Key Information and Client Agreement.
- Customer Complaints.
- Investment Research.
- Assignment.

#### Module Five: Conflicts of Interest

##### Session 1: Conflict of Interest

- Conflicts of Interest – Key Issues.
- Identify and Manage Conflicts.
- Information Barriers Procedure.
- Effective Controls Over Conflicts of Interest.
- Market Abuse.
- Assignment.

#### Module Six: Financial Crime 1: AML

##### Session 1: Risk Assessment

- Financial Crime.
- Risk Assessment.
- High Risk Customers and Situations.
- Money Laundering.
- Anti-Money Laundering (AML).
- Role of MLRO.
- High-Risk Customers.

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- FATF – Financial Action Task Force.
- Local law.
- Assignment.

### Module Seven: Financial Crime 2- Anti-Terrorist Legislation

#### Session 1: Local Counter Terrorism Law

- USA PATRIOT Act.
- Local counter terrorism law.
- Importance of fighting terrorism via counter terrorist financing (CFT).
- Assignment.

### Module Eight: Financial Crime 3: FATCA

#### Session 1: FATCA

- Foreign Account Tax Compliance Act.
- FATCA.
- FBAR Form.
- Assignment.

### Assessment Strategy

- 70% Assignments between sessions.
- 30% Participation.
- 60% Cut-off score.

**Upon Successful Completion of this Course, participants will obtain:**

0.75 CEUs

### Course Language:

English

### Prerequisites:

None