

## Compliance and Governance



498-P25-VE



Virtual



8 hours

### Course Description:

This course is designed to provide the participants with a clear understanding of how compliance is integral to modern banking, as well as exploring some of the key issues for banks, including corporate governance, market abuse, treating customers fairly, the role of compliance in new product launches, and money laundering. The cases involve role plays and whistle-blower scenarios.

### Target Audience:

All career levels of the banking sector can participate in this program.

### Course Objectives

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

- Identify an introduction to compliance.
- Explain the key role of compliance.
- Identify corporate governance.
- Recognize how to treat customers fairly.
- Identify market abuse and insider dealing.
- Explain anti-money laundering.
- Recognize anti-terrorism legislation.
- Discuss the rules for an effective compliance function.

### Course Outline

#### Module 1: Compliance Introduction

##### Session 1: Financial crime risk

- What is compliance?
- Financial crime risk.
- Reputational risk.
- Assignment.

#### Module 2: The Work of Compliance

##### Session 1: Evolution of Compliance Function

- Evolution of the compliance function.
- Focus on residual risks.
- Role of compliance.

- Compliance KRIs.
- Compliance risk dashboard.
- Compliance risk monitoring.
- Compliance monitoring program.
- Annual compliance report.
- Assignment.

#### Module 3: Corporate Governance

##### Session 1: Corporate Governance

- What is corporate governance?
- Whistleblowing.
- Assignment.

#### Module 4: Treating Customers Fairly

##### Session 1: Treating customers fairly

- The Treating Customers Fairly (TCF) policy (Conduct Risk).
- Why do banks face conduct risk, and how can TCF policies help? (Suitability).
- Assignment.

#### Module 5: Market Abuse and Insider Dealing

##### Session 1: Market Abuse

- CM regulatory bodies and legislative framework.
- The laws regulating Egyptian markets.
- Market abuse.
- Assignment.

#### Module 6: Anti-Money Laundering (AML)

##### Session 1: Anti-Money Laundering

- FATF => MENAFATF 40 Recommendations.
- Predicate offences to money laundering.
- Local legislative structure.
- Risk-based approach to AML.
- Correspondent banking.
- Professional money launderers.
- Stages of professional money laundering.
- Assignment.



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## Module 7: Anti-Terrorism Legislation

### Session 1: terrorist attacks

- Recent terrorist attacks.
- Unpacking the anti-terrorist legislation.
- Assignment.

## Module 8: The Rules for An Effective Compliance Function

### Session 1: the rules for an effective compliance function

- 10 golden rules for an effective compliance function.
- 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