

Compliance and Governance



496-P26-VE



Virtual



8 hours



EGP 2,600

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 4: 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 5: 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 6: 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 7: 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 8: 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.