

Compliance and Governance



498-P26-VE-1



Virtual



8 hours

Course Description:

This course is designed to provide participants at all career levels of the banking sector 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:

Upon completion of this course, 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.



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- Professional money launderers.
- Stages of professional money laundering.
- Assignment.

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.

Course completion will grant participants:

0.75 CEUs.

Course Language:

English.

Prerequisites:

None.