

# € TRAINING

Compliance Regulatory Professionals



18 - 22 November 2024  
Madrid (Spain)



# Compliance Regulatory Professionals

REF: I1953 DATE: 18 - 22 November 2024 Venue: Madrid (Spain) - Fee: 5300 Euro

## Introduction:

The Compliance Regulatory Professionals training program equips participants with the knowledge and skills needed to navigate regulatory requirements effectively. Through comprehensive instruction and practical exercises, attendees learn to interpret and implement regulations across various industries. The program prepares professionals to ensure compliance with legal standards and mitigate regulatory risks within their organizations.

## Program Objectives:

At the end of this program the participants will be able to:

- Understand regulatory purposes and functions, becoming well-versed in compliance principles.
- Recognize compliance initiatives and manage associated risks confidently.
- Identify and comprehend compliance risks to effectively reduce breaches and safeguard business reputation.
- Establish a culture of compliance and enforce corporate governance principles.
- Develop initiatives to combat money laundering and manage employee risk within the company.
- Create a suitable Compliance Manual to guide compliance efforts effectively.

## Targeted Audience:

- Compliance Officers / Managers and their Deputies.
- Managers with responsibility for internal compliance controls.
- Regulatory Representatives.
- AML Officers, Accountants, and Lawyers.
- Legal, Audit, Risk, Operations and IT Specialists.
- Risk Managers and Staff working in risk functions.
- Internal & External Audit Staff.

## Unit1:

### The Role of Regulators in the Regulatory Environment:

- A Summary of the Regulatory Landscape.
- The Functions and Goals of International Regulation for Financial Services.
- What anticipate the regulators?
- Your Jurisdictional Setting.
- The Ideal Approach to Regulatory Obligation.
- Compliance Management Systems, ISO 19600.

### Unit3:

#### The Compliance Functions:

- Compliance Framework.
- The Board of Directors', Supervisors', Internal, and External Auditors', Roles.
- Officer in Charge of Compliance's Duties.
- Important Compliance Procedures and Activities.
- Corporate Governance and Compliance and Corporate Responsibility and the Prevention of Financial Crime.
- Conflicts of Interest Ongoing Compliance with Laws and Regulations Compliance Training.

### Unit4:

#### Management of Risk and Compliance Risk Management:

- Creating a Risk Management Approach Understanding Risk.
- Governance, Risk, and Compliance Definition and Internal Controls: A Must.
- Effective Risk Assessment Methods to Identify, Mitigate, and Control Risks.
- Managing Key Relationships - Internal and External.
- The Importance of Compliance Culture.

### Unit5:

#### Managing the Risk of Money Laundering and Financial Crimes:

- Recognizing Money Laundering Crimes.



- MLRO and Compliance Officer.
- The Risk-based Approach to Terrorist Financing and Money Laundering.
- Monitoring, Detection, and Reporting of Suspicious Activity.
- Preventing Fraud, Bribery and Corruption, Insider Trading and Market Abuse.
- Sanctions and their Role in the Global Economy.