



ACCREDITED TRAINING PROVIDER

Global Financial Compliance

This globally portable qualification will provide you with a broad understanding of the compliance issues that arise within the financial services industry. The qualification addresses techniques used to implement a successful compliance function in a bank and provides a comprehensive introduction to all the issues a global Compliance Officer may encounter. It explores the international regulatory environment, managing the risk of financial crime, governance, risk management, ethics, integrity and fairness.

Course Objectives

The purpose of this three day course is to equip delegates with the necessary knowledge and exam techniques to prepare them for the exam for this qualification.

Who should attend?

The qualification is appropriate all compliance staff and will be especially relevant for Compliance Officers.

Our unique 3 day classroom led training course features:

- Content rich PowerPoint slides
- Up-to-date and relevant case studies
- Smaller class sizes which focus more on teacher/student interactions
- An expert trainer with practical industry experience

Progressive study pathways:

- To achieve the full stand alone **Level 3 Certificate in Global Financial Compliance** Combine this qualification with UK Financial Regulations.
- Global Financial Compliance is a part of the CISI **Investment Operations Certificate (IOC)** which is achieved by passing a combination of any three technical, regulatory or introductory units (please see the final page for options)
- To achieve the **Level 6 CISI Diploma in Investment Compliance** combine this qualification with Level 4 UK Regulations & Professional Integrity and the Level 6 Regulation & Compliance.



Course Director: Dennis Cox is a leading financial services risk management

specialist serving banks, regulators and financial institutions globally, with a career encompassing HSBC, Prudential Portfolio Managers, Ernst & Young, BDO Binder Hamlyn and Arthur Young.

Dennis has in-depth knowledge, expertise and practical know-how of Risk management, Bank Internal Audit, Compliance & Financial Crime/Cyber Security in addition to Wealth Investment Management, Financial Markets (Bonds, Securities), Asset & Fund Management, and UK, USA & international Regulation.

He sees risk management as a driver for organizational change in banking, and provides senior level risk advice to major financial institutions globally. His published works on Risk Management, Audit and Financial Crime Deterrence are considered industry standards.

Advanced Preparation: None
Training Type: Classroom
Learning Level: Introduction
Field of Study: Compliance

This training course is scheduled for:

London UK, 3 days

May 9 - 11, 2018

November 19 – 21, 2018

The price per delegate for this 3-day programme is £1,395

(+ UK VAT when applicable)

1:1 training courses available at 2x per delegate price!

For an in-house training option, alternative dates and locations are available.

We are happy to add extra content to the programme to meet additional requirements from your company. Please contact us for further information.

www.riskrewardlimited.com

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Global Financial Compliance

Detailed Course Outline

Session 1: The International Regulatory Environment

- Models of regulation
- The International approach to regulation

Session 2: The Compliance function

- International best practice
- The role of the Compliance function within a firm
- Managing regulatory relationships

Session 3: Managing the risk of financial crime

- Money laundering, terrorist financing and the standards required of firms
- Practical implications
- Policies, procedures and controls required of Firms

Session 4: Ethics, Integrity and Fairness

- Ethics
- Market Integrity
- Fair Conduct
- Fair Dealing

Session 5: Governance, Risk management and Compliance

- Corporate governance
- Key risk types, their application and impact on the Compliance function

Course schedule:

Full day classroom training
09:30 – 17:00



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Global Financial Compliance (London)

Registration & Payment details

Please mark **X** in the box and complete the form with BLOCK LETTERS

Dates:

May 9 – 11, 2018

November 19 - 21, 2018

Course Fee (per person):

GBP £1,395 (+ UK VAT when applicable)

Email* _____

First name* _____

Last name* _____

Job title / Position _____

Department _____

Company Name _____

Company Address _____

City _____

Postcode _____

Country* _____

Telephone (direct)* _____

Telephone (main) _____

Approving Manager _____

Training Manager _____

Please tick that box if you don't want to be subscribing to the Global Risk Update magazine.

Data Privacy & Update of Contact Details Risk Reward Limited is fully compliant with the Data Protection Act. The information you provide will be safeguarded by Risk Reward Ltd. We do not rent, sell or exchange your details to anyone without your consent. Your details are never given to third parties. If you wish to update your details, please email: info@riskrewardlimited.com with your OLD and NEW details. Please allow 10 days to see the changes take effect. Thank you.

Terms and Conditions All cancellations must be received in writing 20 working days prior to the start of the course with acknowledgement from Risk Reward. Course fees must therefore be paid in full if a cancellation occurs within 20 working days of the start of the course. We are always happy to welcome a replacement onto the course. Kindly send us written notification of your replacement by email, fax or telephone. Written cancellations received 20 working days or more before the start date of the course receive a full refund less a charge of 20%. For any written cancellation requests that reach us less than 20 working days before the event, no refunds will be given. Risk Reward reserves the right to the final decision if any dispute arises.

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Signature

Date

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Examination policy:
You will need to book their examination and register for their membership directly through the CISI.
Candidates who are attending the training are advised to purchase the workbook from CISI.



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Investment Operations Certificate (IOC)

Progressive study pathways options

For UK Candidates the IOC is achieved by passing any three of the following units*;

(* please note that the following list only contains the IOC courses that Risk Reward offers and not the complete selection, for the full list please visit www.cisi.org)

Introductory

- **International Introduction to Securities and Investment**

Regulatory

- **UK Financial Regulation**

Technical

- **Risk in Financial Services**
- **Global Financial Compliance**
- **Combating Financial Crime**
- **Managing Cyber Security**
- **Operational Risk**