



ACCREDITED TRAINING PROVIDER



RISK REWARD
GLOBAL BANKING & FINANCIAL SERVICES EXPERTS

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 training course features:

- Content-rich study materials
- Up-to-date and industry relevant case studies
- In-depth analysis of course topics
- Smaller class sizes which focus more on personal attention & expert-delegate interaction
- An experienced, expert practitioner-trainer with real industry track-record & available for delegate Q&A for up to 90 days to help in exam preparation following the course.

Methodology

The expert trainer will use slides, case studies, exercises and lead workshop-style group discussion to engage the delegates in practical learning and understanding. The trainer remains available to delegates for Q&A related to the course topic for 90 days following the course dates.

Advanced Preparation: None

Training Type: Live, in-person, classroom

Learning Level 3: Intermediate

Field of Study: Financial Planning & Advice, Wealth Management

This training course is scheduled for:

London UK, 3 days

May 08 – 10, 2019

November 18 – 20, 2019

The price per delegate for this 3-day programme is £4,200.00

(+ 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.

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Global Financial Compliance

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



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Global Financial Compliance

Registration & Payment details

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

Dates:

May 08 – 10, 2019

November 18 – 21, 2019

Course Fee (per person):

GBP £3,145 (+ UK VAT when applicable)

Email* _____

First name* _____

Last name* _____

Job title / Position _____

Department _____

Company Name _____

CISI Certificate & Diploma Candidates

Please register, purchase your CISI workbook and online learning tools, and arrange to sit the exam at a testing centre directly with the professional body via www.CISI.org.

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.

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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