



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 and internal audit 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 specialises his risk advisory services and lectures on the balance of risk management and the modernisation of internal audit and the auditing of compliance risk areas. He also addresses risk management as a driver for organisational change in banking, and risk-based bank internal audit. He is a specialist in risk and audit for bank departments and functions including credit, treasury, operations and accountancy issues related to the Basel Accord and the dynamics of changing regulation and business banking competitiveness

**Advanced Preparation: None**

**Training Type: Classroom**

**Learning Level: Introduction**

**Field of Study: Compliance**

**This training course is scheduled for:**

**London UK, 3 days**

April 03 – 05, 2017

July 17 – 19, 2017

December 11 – 13, 2017

**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.

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

(+ UK VAT when applicable)

[www.riskrewardlimited.com](http://www.riskrewardlimited.com)

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**CISI@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

AM session 09:30 – 12:30

PM session 13:30 – 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:

April 03 – 05, 2017

July 17 – 19, 2017

December 11 – 13, 2017

#### 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 \_\_\_\_\_

Payment Details

Invoice Me

BACS

Credit Card



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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 £150. 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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## 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.cici.org](http://www.cici.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