



ACCREDITED TRAINING PROVIDER

Risk in Financial Services

This comprehensive introductory qualification addresses the key techniques in identifying, reducing and managing certain risk areas in Financial Services sector with example to operational risk, credit risk, market risk, investment risk and liquidity risk with an international perspective.

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?

This qualification is appropriate for Risk and Compliance teams, Branch Management, Corporate Lawyers, Finance Officers, Senior Managers of all disciplines and existing and aspiring Non-Executive Directors.

Our unique 3 day classroom led training course includes:

- Content rich PowerPoint slides
- Up-to-date and relevant case studies
- Sample practice paper
- 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 Risk in Financial Services** combine this qualification with UK Financial Regulations.
- To achieve the CISI **Investment Operations Certificate (IOC)** combine any three Technical, Regulatory or Introductory modules (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: Risk Mgt

This training course is scheduled for:

London UK, 3 days

June 25 - 27, 2018

November 12 - 14, 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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Risk in Financial Services

Detailed Course Outline

Session 1: Principles of the Risk Management

- Introduction to Risk in Business
- Specific Risks in Financial Services

Session 2: International Risk Regulation

- The Bank for International Settlements
- Basel Regulatory Capital and Operational Risk Requirements
- Principles-Based Regulation
- Other Relevant Regulations

Session 3: Operational Risk

- Definitions of Operational Risk
- Operational Risk Policy
- Operational Risk Framework
- Operational Risk Identification
- Operational Risk Assessment and Measurement
- Managing Operational Risk

Session 4: Credit Risk

- Identification of Credit Risk
- Credit Risk Measurement
- Credit Risk Management

Session 5: Market Risk

- Identification of Market Risk
- Market Risk Management

Session 6: Investment Bank

- The Measurement of Investment Returns
- Identification and Measurement of Investment Risk

Session 7: Principles of the Risk Management

- Identification of Liquidity Risk
- Measurement of Liquidity Risk
- Management of Liquidity Risk

Session 8: Corporate Governance and Risk Oversight

- Internal Corporate Governance
- Culture and Leadership
- Risk Governance within Financial Services Organisations

Session 9: Model Risk

- Overview of Model Risk

Session 10: Enterprise Risk Management (ERM)

- Overview of Enterprise Risk Management (ERM)

Course schedule:

Full day classroom training
09:30 – 17:00



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Risk in Financial Services (London)

Registration & Payment details

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

Dates:

June 25 - 27, 2018

November 12 - 14, 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 _____

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.

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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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**