



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 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: Risk Mgt**

**This training course is scheduled for:**

**London UK, 3 days**

January 16 – 18, 2017

July 17 – 19, 2017

November 13 – 15, 2017

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

(+ UK VAT when applicable)

A 10% discount is available for returning candidates booking training courses along the Risk in Financial Services Progressive study pathway

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

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**CISI@riskrewardlimited.com**

UK Companies House # 434 6234.



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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

AM session 09:30 – 12:30

PM session 13:30 – 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:

January 16 – 18, 2017

July 17 – 19, 2017

November 13 – 15, 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

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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.cisi.org](http://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