



UK GMT Time Zone  
830 - 1630 x 3 days

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USA Central Time Zone  
830AM - 430PM x 3 days

CPEs: 24  
 Instructor: [Dennis Cox](#)  
 Level: Intermediate  
 Tuition: £2,495 / \$3345

## Risks of Regulation and Compliance

**Location:** UK, Europe & USA Central Time Zones

**First Date:** September 13-15, 2021

### All Dates & Locations

**September 13-15, 2021**

(UK & Europe)

**October 11-13 2021**

(USA Central Time)

### Venue Details

Experience the highly-interactive expert-led social learning through Virtual Classroom via Cisco WebEx from Risk Reward.

All our 2021 Virtual Classroom events feature shared (or discrete) live chat between delegates and the expert, participate in topical surveys, polling questions, group exercises and case studies for a tried -and- true engaging and gratifying learning experience.

**“Group discussion for brainstorming, shared many useful websites, sanctions most valued topic as rarely is there too much information on this. Great and useful”**  
 Risk manager, Global UK Bank, Taiwan

### Overview

This in-depth course addresses key compliance issues and their control within the corporate environment with a focus on financial crime, sanctions and conduct risk, process safety management (PSM) and the impact of risk management programs. It reviews how to consider data issues and also a range of other significant compliance issues.

### Who should attend

This programme is designed for compliance officers, Internal Audit, Legal Functions, Regulators, Internal and External Audit and recent delegates have included those from IT, operations within a firm and software firms.

## Course Information

### What Does It Cover?

Compliance and regulation risk in practice in industry including financial crime, prevention vs detection controls, sanctions & OFAC, conduct risk, bribery & corruption, PSM, data mining & management, marketing and advertising, reporting & warning signs, HR & whistleblowing, and more.

### Learning Objectives

On completion of this course delegates will have gained a thorough understanding of the role of compliance within an organisation and its governance, key risk implications, and how the role of compliance and legal differ.

**"[The trainer] was very knowledgeable and able to give opinions across a wide variety of subjects. Very well informed."**

Senior Risk manager, Japanese Bank, New York

### Who Should Attend

This programme is designed for compliance officers, Internal Audit, Legal Functions, Regulators, and External Audit and recent delegates have included those from IT, operations, and software firms.

### Social Learning & Methods

Highly interactive expert-led intensive presentation, Q&A, group real-time in-depth case studies, regulation and discussion supported by key principles and theory. The

virtual learning platform uses safe, industry preferred encrypted Cisco WebEx to optimize live face-to-face visual interaction, discrete chat, for polling

and quizzes. (An invitation via email with access link is included for all participants.)

### Agenda Highlights

**Session 1:** The Compliance Landscape?

**Session 2:** What really happens in practice?

**Session 3:** Compliance and Governance

**Session 2:** Financial Crime Deterrence

**Session 3:** Sanctions and Sanctions Risk

**Session 4:** Conduct Risk, Bribery and Corruption

**Session 5:** Process Safety Management (PSM) programs

**Session 6:** Data Management

**Session 7:** Marketing and Advertising

**Session 8:** Compliance and HR

**Session 9:** Other Issues

**Session 10:** The future of compliance risk

**"I really enjoyed the course. It was interactive, and the instructor was very helpful."**

Risk Manager, Global UK Bank

## Risks of Regulation and Compliance RM100

**Course Fee -** Group Discounts available or bring this learning in-house for even greater value

**Course Fee (per person):**

GBP **£2,495** (+ UK VAT when applicable)

USD **\$3,345**

**Early Bird Discounts of 10% available by April 12, 2021**

**Choose date:**

**September 13-15, 2021**  
(UK & Europe)

**October 11-13, 2021**  
(USA Central Time)

**Your learning experience includes:**

- Insightful & detail-rich course materials
- Up-to-the-minute Case Studies
- Directory of resources references
- Q&A Access to your Expert

|                    |                  |
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| Postcode           | Country          |
| Telephone (Direct) | Telephone (Main) |
| Approving Manager  | Training Manager |

**Group size is limited to optimise your learning.**  
**To reserve your virtual attendance please complete the form & email to: [Training@riskrewardlimited.com](mailto:Training@riskrewardlimited.com)**

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