

# Compliance Leading Professionals

Execute Better by Protecting the company from Compliance Risk

## Introduction

The goal of this Course N Carry Compliance Leading Professionals training course is to equip participants with the information and abilities necessary to comprehend and facilitate enterprise-wide risk management and regulatory compliance. In addition, it's important to understand how to navigate laws, markets, goods, and transactions while advancing international standards and best practices that satisfy legal and regulatory requirements.

This comprehensive and extremely hands-on training programme will enable you to become an expert in compliance. It gives you the abilities you need to interact with people at all organisational levels and to establish positive relationships with your board of directors and regulators.

The regulatory bodies that all businesses must comply with, in order to create and maintain efficient systems and controls, an efficient compliance monitoring programme, and a risk-based Customer Due Diligence (CDD) procedure are all covered in this training course. It gives you the best methods for managing sensibly and successfully while adhering to all relevant rules and laws. Additionally, you will be supported by professional standards and internal policies in corporate governance and risk management, as well as cutting-edge tools to shield your company from compliance risk.

## Objectives

**After completing this training programme for Compliance Leading Professionals, you will be qualified to:**

- Recognise the goals and functions of regulation
- Recognise your compliance obligations.
- Gain a thorough understanding of the fundamentals of compliance.
- Recognise the meaning of compliance and the steps being taken to control the associated risk.
- Possess the necessary abilities to confidently approach compliance and its associated functions
- To effectively reduce the risk of compliance breaches, identify and comprehend compliance risks as well as the repercussions of noncompliance.

- Create a suitable Compliance Manual.
- Establish a culture of compliance
- Preserve the reputation of the company
- Compliance and Corporate Governance's Interaction
- Create compliance initiatives to combat money laundering and enforce corporate governance regulations.
- Create the most effective tactics to support managers and reduce risk inside your firm

## Training Methodology

An overview of the best practices in regulatory compliance will be provided to participants in this **Compliance Leading Professionals** training session. Case studies, group live instruction, play roles, presentation and discussion of worked examples, group discussions, and interactive involvement are all part of the training process.

## Organizational impacts

**Employee involvement in this training session will be very beneficial to the organisations, as it directly relates to Certified Compliance Professionals (CCP). The following will benefit the organisation:**

- Improved assistance for the compliance team
- Choosing a compliance program's format and content based on what works best for your company
- Recognising and evaluating risks and relevant regulatory requirements in business language
- Finding the root causes of potential non-compliance and addressing them in the compliance plan
- Increased accuracy and relevance of the regulatory bodies' analysis
- Greater strategic thinking and performance-oriented focus
- Making better use of the creation of an effective compliance programme
- Getting employees ready for further responsibilities

## Personal Impact

**Delegates will personally profit from this Compliance Leading Professionals training course by receiving the following:**

- Recognising the entire regulatory landscape
- Recognise your regulator.
- In actuality, compliance
- The compliance function's role
- Controlling regulatory risk to your company's advantage
- Recognising the significance of risk, governance, and compliance
- Integrity, ethics, and the culture of organisational risk
- Taking precautions against financial crime

**This training programme for Course N Carry Compliance Leading Professionals is intended to impart information and skills while giving specifics on the most recent rules and processes to:**

- Managers in charge of compliance and their deputies
- Supervisors in charge of internal compliance measures
- IT, Operations, Risk, Legal, and Audit Experts
- Managers of Risk
- Employees performing risk-taking tasks
- Employees in Charge of Internal and External Audits
- Representatives for Regulation
- Officers in AML
- Accountants
- Attorneys
- Each Employee who is employed in the compliance area or hopes to work there

## **Course Outline**

### **Day 1**

#### **The Function of Regulators and the Regulatory Environment**

- A Synopsis of the Regulatory Framework
- The Reasons for Regulating Financial Services
- International Law
- The Regulators' Function
- What Are The Regulators Anticipating?
- Your Environment of Jurisdiction
- The Optimal Method for Regulatory Compliance
- Systems for Compliance Management, ISO 19600

### **Day 2**

#### **The Role of Compliance**

- Structure of Compliance
- The function of the supervisors, internal and external auditors, and board of directors
- Duties associated with becoming a compliance officer
- Crucial Procedures and Activities for Compliance
- Corporate Governance and Compliance
- Financial Crime Prevention and Corporate Governance

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- **Compliance Education**

- Continued Adherence to Laws and Regulations

## Day 3

### Risk Control and Adherence to Compliance

- Comprehending a Risk Management Method
- Formulating a Strategy for Risk Management
- The Meaning of Compliance, Risk, and Governance
- Why Internal Controls Are Necessary
- Determine, Reduce, and Manage Risks Efficiently
- Methods for Assessing Risk
- The Value of a Culture of Compliance
- Handling Important Internal and External Relationships

## Day 4

### How to Set Up a Successful Compliance Function

- Things to Take Into Account While Creating a Compliance System
- Creating a System for Internal Compliance
- Establishing and Disseminating Internal Compliance Policies
- Compliance Guidebook
- Putting Procedures and Policies in Place
- Establishing a Programme for Compliance Monitoring
- Why Independence Is Necessary
- Maintaining Documents and Complying with Laws
- Handling Regulators and Modifications to Regulations

## Day 5

### Controlling the Risk of Financial Crimes and Money Laundering

- Recognising Offences Related to Money Laundering
- Officers of Compliance and MLRO
- The Risk-based Method for Combating Terrorism Financing and Money Laundering
- Monitoring, Identifying, and Reporting Suspicious Activity
- Preventing Fraud
- Corruption and Bribery
- Insider Dealing
- Abuse of the Market
- The Function of Sanctions in the World Economy