



*Training Course:  
Certified Compliance Officer*

*14 - 18 April 2025  
Madrid (Spain)  
Pestana CR7 Gran Vía*

## Training Course: Certified Compliance Officer

Training Course code: MA234918 From: 14 - 18 April 2025 Venue: Madrid (Spain) - Pestana CR7 Gran Vía Training Course Fees: 5500 € Euro

### Introduction

Compliance Certification is a management program designed to teach a practical understanding of regulatory compliance needs. The program covers eight major subject areas and utilizes a variety of training techniques. The key areas of the curriculum include understanding the regulatory environment, who is responsible for the compliance, the role of corporate governance and ethics in compliance programs, and the implementation of compliance programs. The emphasis will be on practical and pragmatic approaches, rather than theoretical ones.

### Training Course Objectives

At the end of this training program, participants will be able to;

- Determine the meaning of compliance with your organization and how it is able to develop an organizational response to its demands.
- Compliance inside and outside
- Know what drives your compliance exposure both at home and abroad
- Understanding the consequences of non-compliance risks
- Appreciate the relationship between corporate governance and compliance, including the market expectation of that relationship
- Assess the relationship between corporate governance and compliance, including market expectations for that relationship
- Understand how to produce a corporate compliance program designed for your organization
- Learn how to improve the regulatory structure of compliance

### Personal Benefits

You will learn to appreciate the extent to which organizations and their public officers are exposed to the ever-increasing regulatory environment, how to identify the compliance issues that have the most significance for you, and how to introduce a compliance management program within your organization.

### Target Audience

This highly practical course has been specifically designed for:

- Directors and Senior Managers

- Company Secretaries
- Compliance Professionals
- Risk Managers
- Legal Advisers and Lawyers
- In-House Corporate Counsel
- Auditors and Audit Managers
- Compliance Officers and Managers
- Anyone who is responsible for compliance affairs or regulatory relationships

## Training outlines

### Day 1

- Introduction to compliance
- The role of compliance
- Business management on offer
- Control framework
- The power of technology
- Institutional risk management
- Quality management
- Promoting a culture of accountability, organization
- Environment and the role of regulators
- A variety of legal obligations and due diligence
- Organizers
- Supervisors
- Licenses or authorizations
- Commercial effects
- Introduction to regulatory requirements analysis methods
- Analysis of the regulatory requirements of each regulatory authority overview

- Disciplinary action
- Compliance and the role of corporate governance
- What is corporate governance?
- Corporate governance
- Principles of corporate governance
- The duties and responsibilities of managers
- Introducing foreign corruption laws
- Protecting the interests of stakeholders
- Business ethics
- Reporting irregularities
- Regulatory interactions
- Corporate Constitution and governance structure
- Rules of conduct
- Independence
- Separation of duties
- Customer information
- Rewards policies

## Day 2

- Discussion on regulation and compliance requirements: key outcomes of the compliance function.
- Responsibility for compliance
- Compliance monitoring methodologies by management
- Compliance monitoring methodologies by the compliance officer
- Consider different management structure options and models and influence compliance structure
- The basic elements of the compliance policy.
- Stakeholders
- Definitions of compliance officer duties

- Summary of the risks of evaluation and compliance
- Functional structures to comply with standards
- Compliance risk management
- Independence
- Examples of policies, brochures and working papers should be given.
- Formats vs. Material
- Operational procedures/evidence
- Legal, regulatory and supervisory procedures
- Assess whether existing structures allow these outcomes to be achieved.
- Consider the shortcomings and issues faced by compliance functions and how they can be overcome.

### Day 3

- Record-keeping
- Monitoring
- The starting point for compliance monitoring
- Risk assessment methodologies
- Ranges and restrictions
- Independent monitoring
- Statistical sampling and non-statistical sampling
- Complaints
- Worksheets
- The review process to assess the implementation of compliance risk management plans across your organization
- Introduction to anti-money laundering
- International responses to the problems of money-laundering, economic crime, cyber vandalism and terrorism
- FATF
- Legal requirements

- Non-compliance and its ramifications
- Risk management
- PEPS
- Develop a review plan to combat money laundering for a company

#### Day 4

- Compliance and business ethics
- Ethics and Corporate Accountability: The Benefits of Adhering to Sound Business Ethics.
- How to read legislation
- COSO framework
- White Paper for Corporate Law Reform
- Data Protection Act 1998. Europe
- Basel Convention
- Data protection
- Corporate ethics guidelines in the development of the corporate compliance program
- Determine the best suitability for a strategy, environment and industry-based organization
- Conflict in the workplace
- Conflicts of interest
- Department of External Relations
- Problem-solving methodologies
- Training
- Training methods
- Record-keeping
- Principles of best practices
- Implementation requirements

#### Day 5

- Compliance function overview
- Compliance function location
- Integration and independence of compliance function
- Optimal compliance structure
- Compliance responsibilities in the compliance officer
- Combating bribery and corruption
- Whistle-blowing programs and the law

## Registration form on the Training Course: Certified Compliance Officer

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Complete & Mail or fax to Global Horizon Training Center (GHTC) at the address given below

### Delegate Information

Full Name (Mr / Ms / Dr / Eng): .....  
Position: .....  
Telephone / Mobile: .....  
Personal E-Mail: .....  
Official E-Mail: .....

### Company Information

Company Name: .....  
Address: .....  
City / Country: .....

### Person Responsible for Training and Development

Full Name (Mr / Ms / Dr / Eng): .....  
Position: .....  
Telephone / Mobile: .....  
Personal E-Mail: .....  
Official E-Mail: .....

### Payment Method

- ☐ Please find enclosed a cheque made payable to Global Horizon
- ☐ Please invoice me
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### Easy Ways To Register

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