



*Training Course:  
The Relationship Between Compliance and Legal  
Department in The Organization*

*3 - 7 March 2025  
Madrid (Spain)  
Pestana CR7 Gran Vía*

## Training Course: The Relationship Between Compliance and Legal Department in The Organization

Training Course code: PC234698 From: 3 - 7 March 2025 Venue: Madrid (Spain) - Pestana CR7 Gran Vía Training Course  
Fees: 5500 € Euro

### Introduction

In this training course, we examine the complexity of issues encountered by compliance officers and managers which is a result of the regulatory regime and the increasingly dynamic business, and the risk scenarios which arise as a consequence. We introduce, demonstrate, and test best practice recommendations for the role of the Legal and Compliance Officer, and the ever-increasing need within the business to comply with requisite statutory, regulation, and best practice and to ensure that their staff is appropriately trained.

This course is designed from a legal compliance practitioner's perspective and it provides a comprehensive overview of the statutory and regulatory environment, the role of compliance professionals, their functions and position within the regulatory regime, and their relationship with the business and other stakeholders.

This training course will highlight:

- The statutory and regulatory environment in the organization
- The role and powers of the authorities from an international perspective
- The style and features of regulation of compliance.
- The role and responsibilities of the compliance function within legal and ethics in the organization.
- The issues to be considered in developing compliance policies and procedures
- A variety of core pieces of legislation that are relevant to the compliance function
- Best practice risk management techniques

### Course Objectives

The training course will enhance your ability to identify and determine the statutory, legal, and compliance requirements within your organization. It will boost your skills in ensuring that work activities adhere and are compliant with legal frameworks, while seeking to provide an environment that minimizes the risk to all who operate within it.

At the end of this training course, you will learn to:

- The role and responsibilities of the compliance function within the practice, including the designated Compliance Officer roles, and the skills needed to successfully discharge these.
- The issues to be considered in developing compliance policies and procedures.
- A variety of core pieces of legislation that are relevant to the compliance function through the laws and the

ethics in the company.

- The important relation between the compliance department and legal affairs department in the organization.
- Key risk areas, including money laundering, cyber-crime, bribery and corruption, data protection loss, and financial services regulation.

## Organizational Impact

Success can be learned, and failures avoided, by examining others' experiences. Throughout this training course, we draw on practical examples of best practices and well-documented failures to maximize your team's chances of success. Through practical examples, open discussion, and interactive exercises, your team can gain the skills and confidence to deal with statutory, legal, and compliance requirements within your organization

Personal Impact of The Relation Between Compliance and legal Affairs in The Organization..

Your team members will learn and have the opportunity to practice techniques for:

- Evaluating key elements of statutory, legal, and compliance in the Organization.
- Why risk management of legislative breaches must be included in the compliance framework?
- Links between compliance, regulation, and professional ethics.
- Qualities required of compliance professionals.
- Recent developments in the legal and regulatory framework.

## Target Audience

This training program is specifically designed for anyone in a compliance or risk management.

Employees with management responsibility for compliance and any individual who wishes to learn fundamental compliance principles and how organizations should be compliant

This training programme is suitable to a wide range of professionals but will greatly benefit:

- Compliance Officers and Employees
- Risk Managers
- Compliance Managers, Associates and Analysts
- Contract Executives and Managers
- Staff whose job role includes legal compliance responsibilities

## Course outlines

## Day 1

### Understanding Risk, Statutory, Legal and Regulatory Compliance

- What is effective legal and regulatory compliance?
- Conduct of Oil and Gas Business
- Prudential Compliance
- What are the objectives of compliance?
- What is integrity in the eyes of the regulator?
- Managing Regulatory Compliance in a Dynamic Environment

### Regulators and their Power

- The Role of the Regulator
- Regulatory Models
- Enforcement
- Regulatory Rules
- The Framework of a Regulator
- The Potential Liability of Regulators

## Day 2

### Understanding the Legal and Regulatory Environment

- The Need for, and objectives of Law and Regulation
- Sources of Law and Regulation
- Prevention of Money Laundering and Financial Crime
- Understanding Money Laundering Offences
- Designing an Effective Reporting System
- Terrorist Financing
- The USA PATRIOT Act and US Extraterritoriality
- Money Laundering and Tax Evasion

- Financial Crime
- Preventing Fraud
- Corruption
- Market Manipulation / Misleading Statements, Insider Dealing and Market Abuse

### Day 3

#### Business Knowledge and Awareness

- Business Background
- Codes of Corporate Governance
- Regulatory Principles
- Overview of Commercial Laws and Mechanisms Governing Legal Persons and Arrangements
- Regulators
- Products and Services

#### The Role of the Compliance Officer

- Compliance Structure
- The Role of the Compliance Officer
- Key Compliance Activities and Processes
- Risk-based Compliance Monitoring
- Investigating Compliance Breaches
- Training

### Day 4

#### Compliance in Practice

- Compliance Governance
- Internal and External Relationships
- Links between Compliance, Culture and Ethics
- Specific Internal Compliance Control Issues

- Risk Management

#### Key Compliance Issues

- Practical Considerations
- Compliance Oversight and Internal Controls

#### Day 5

##### Legislation of Relevance to the Compliance Function: Risk Management

- Understanding where Disputes are most likely to Arise
- Understanding Regulatory Risk
- The Risk Management Process: What to remember when designing an effective risk management system?
- Opportunities and Threats from Risk Management Developments
- Dealing with Regulatory Issues and Enforcement
- Why risk management of legislative breach must be included in compliance framework?
- Key Risk Areas: Financial Crime and Money Laundering, Cyber-crime, Bribery and Corruption, Data Protection Loss
- Best Practice Risk Management Techniques

## Registration form on the Training Course: The Relationship Between Compliance and Legal Department in The Organization

Training Course code: PC234698 From: 3 - 7 March 2025 Venue: Madrid (Spain) - Pestana CR7 Gran Vía  
Training Course Fees: 5500 € Euro

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
- Please invoice my company

### Easy Ways To Register

Telephone:  
+201095004484 to  
provisionally reserve your  
place.

Fax your completed  
registration  
form to: +20233379764

E-mail to us :  
info@gh4t.com  
or training@gh4t.com

Complete & return the  
booking form with cheque  
to: Global Horizon  
3 Oudai street, Aldouki,  
Giza, Giza Governorate,  
Egypt.