



*Training Course:
Certified Compliance Officer*

*29 June - 3 July 2026
Madrid (Spain)*

Training Course: Certified Compliance Officer

Training Course code: MA234918 From: 29 June - 3 July 2026 Venue: Madrid (Spain) - Training Course Fees: 5775 € Euro

Introduction

The Compliance Certification Program is a comprehensive management training designed to provide participants with a **practical and structured understanding of regulatory compliance frameworks**. The program covers eight core subject areas and integrates diverse learning methodologies, including case studies, real-world applications, and interactive discussions.

Participants will gain in-depth knowledge of the **regulatory landscape**, roles and responsibilities in compliance, and the critical link between **corporate governance, ethics, and compliance frameworks**.

The program emphasizes **pragmatic, results-driven approaches** to designing, implementing, and enhancing compliance programs, enabling organizations to effectively respond to regulatory demands and mitigate risks.

Training Course Objectives

By the end of this program, participants will be able to:

- Define and interpret compliance within their organizational context and develop effective response strategies
- Analyze internal and external compliance requirements and regulatory expectations
- Identify key drivers of compliance exposure at both domestic and international levels
- Evaluate the legal, financial, and reputational consequences of non-compliance
- Examine the relationship between **corporate governance and compliance**, including market expectations
- Design and implement a **tailored corporate compliance program** aligned with organizational objectives
- Assess and enhance regulatory compliance structures and frameworks
- Apply best practices in **compliance risk management, monitoring, and reporting**

Target Audience

This highly practical program is designed for:

- Board Members, Directors, and Senior Executives
- Company Secretaries and Governance Professionals
- Compliance Officers and Compliance Managers
- Risk Management Professionals
- Legal Advisors, Lawyers, and In-House Counsel
- Internal and External Auditors
- Regulatory Affairs Professionals
- Any individual responsible for compliance, governance, or regulatory relationships

Training Outline

Day 1: Foundations of Compliance & Regulatory Environment

- Introduction to Compliance and Its Strategic Importance
- The Role of Compliance in Business Operations
- Regulatory Environment and Institutional Risk Management
- Control Frameworks and Quality Management Systems
- Technology and Its Role in Compliance Functions
- Legal Obligations, Due Diligence, and Regulatory Oversight
- Licensing, Authorizations, and Regulatory Expectations
- Introduction to Regulatory Requirements Analysis
- Corporate Governance: Principles, Structures, and Responsibilities
- Business Ethics and Stakeholder Protection
- Regulatory Interaction and Reporting Irregularities
- Governance Structures: Independence, Segregation of Duties, and Codes of Conduct

Day 2: Compliance Function & Risk Management

- Regulatory Requirements and Compliance Function Outcomes
- Roles and Responsibilities in Compliance Management vs. Compliance Officer
- Compliance Monitoring Methodologies and Tools
- Organizational Structures and Compliance Models
- Core Components of a Compliance Policy
- Compliance Risk Identification and Assessment
- Functional Structures for Regulatory Adherence
- Documentation: Policies, Procedures, and Working Papers
- Evaluating Existing Compliance Frameworks
- Challenges Facing Compliance Functions and Mitigation Strategies

Day 3: Compliance Monitoring & Financial Crime Prevention

- Record-Keeping and Documentation Standards
- Compliance Monitoring Frameworks and Methodologies
- Risk Assessment Techniques and Sampling Methods
- Complaints Handling and Review Processes
- Compliance Risk Management Plan Evaluation
- Introduction to Anti-Money Laundering AML
- Global Frameworks e.g., Financial Action Task Force FATF
- Economic Crime, Cybercrime, and Terrorism Financing
- Legal and Regulatory Requirements for AML
- Politically Exposed Persons PEPs Risk Management
- Designing an AML Review and Monitoring Plan

Day 4: Ethics, Governance Frameworks & Best Practices

- Compliance and Business Ethics Integration
- Corporate Accountability and Ethical Culture Development
- Interpreting Laws and Regulatory Texts

- Overview of Committee of Sponsoring Organizations of the Treadway Commission COSO Framework
- International Regulatory References e.g., Data Protection, Basel Principles
- Data Protection and Privacy Compliance
- Developing Corporate Ethics Guidelines
- Managing Conflicts of Interest and Workplace Ethics Issues
- Problem-Solving and Decision-Making Methodologies
- Compliance Training Design and Delivery Methods
- Best Practices in Implementation and Record-Keeping

Day 5: Compliance Program Implementation & Governance

- Compliance Function Structure and Positioning
- Integration vs. Independence of Compliance Functions
- Designing an Optimal Compliance Framework
- Roles and Responsibilities of the Compliance Officer
- Anti-Bribery and Anti-Corruption Frameworks
- Whistleblowing Systems and Legal Considerations
- Building a Sustainable Compliance Culture
- Continuous Improvement and Program Evaluation

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

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Payment Method

- Please find enclosed a cheque made payable to Global Horizon
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