Training Course:
Advanced Banking Compliance, AML/CFT Governance & Regulatory Risk Management

30 August - 3 September 2026
In-House

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Training Course code: SC236590 From: 30 August - 3 September 2026 Venue: In-House - Training Course Fees: Euro

Introduction

The Advanced Banking Compliance, AML/CFT Governance & Regulatory Risk Management training program is designed by Global Horizon Training Center to enhance the capabilities of compliance, financial crime, regulatory reporting, legal, and internal audit professionals in managing regulatory obligations and strengthening compliance frameworks within financial institutions.

This program provides an in-depth understanding of banking compliance requirements, Anti-Money Laundering and Counter-Terrorist Financing AML/CFT frameworks, regulatory reporting obligations, customer due diligence practices, sanctions compliance, compliance risk assessment, and governance requirements applicable to Saudi financial institutions.

The training addresses key regulatory references, including SAMA AML/CFT Rules 2021 and amendments, Banking Control Law compliance obligations, SAMA Governance Rules for Banks, FATF Recommendations, KSA National AML/CFT Action Plan, and CMA regulations where applicable, enabling participants to enhance regulatory readiness and establish effective compliance management systems.

Objectives

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

- Understand key regulatory compliance requirements applicable to Saudi financial institutions.
- Strengthen AML/CFT frameworks, policies, procedures, and control mechanisms.
- Improve regulatory reporting accuracy and compliance with submission requirements.
- Apply effective customer due diligence CDD and enhanced due diligence EDD practices.
- Manage risks related to politically exposed persons PEPs and high-risk customers.
- Enhance sanctions screening and financial crime monitoring capabilities.
- Conduct compliance risk assessments and regulatory horizon scanning.
- Develop effective escalation and reporting processes.
- Promote whistleblowing frameworks and a strong compliance culture.
- Align compliance practices with SAMA, FATF, and other regulatory expectations.

Course Methodology

The program will be delivered through:

- Instructor-led presentations and professional discussions.
- Review of regulatory requirements and compliance practices.
- Analysis of financial crime and compliance scenarios.
- Discussion of industry challenges and regulatory expectations.
- Examination of governance and risk management approaches.

Organizational Impact

Upon completion of this program, organizations will benefit from:

- Enhanced regulatory compliance capabilities.
- Improved AML/CFT risk management effectiveness.
- Stronger financial crime prevention frameworks.
- Improved quality and accuracy of regulatory reporting.
- Better identification and management of compliance risks.
- Stronger compliance culture and governance practices.
- Increased readiness for regulatory reviews and examinations.

Target Audience

This program is designed for:

- Compliance Officers.
- Regulatory Reporting Teams.
- Financial Crime Prevention Professionals.
- AML/CFT Specialists.
- Legal Professionals.
- Internal Audit Teams.
- Risk Management Professionals.
- Governance and Regulatory Affairs Staff.

Outlines

Day 1:

Banking Compliance Framework, Regulatory Obligations & Governance

Introduction to Banking Compliance

- Role and responsibilities of compliance functions in financial institutions.
- Evolution of regulatory expectations in banking.
- Compliance challenges in modern financial services.

Regulatory Framework in Saudi Arabia

- Overview of SAMA AML/CFT Rules 2021 and amendments.
- Banking Control Law and compliance obligations.
- SAMA Governance Rules for Banks.
- CMA regulatory requirements where applicable.
- FATF Recommendations and their impact on KSA financial institutions.
- KSA National AML/CFT Action Plan.

Compliance Governance Framework

- Compliance operating models.
- Roles and responsibilities of compliance functions.
- Relationship between compliance, risk, legal, and internal audit.
- Building effective compliance management systems.

Day 2:

AML/CFT Program Design, Monitoring & Financial Crime Prevention

AML/CFT Framework Development

- Components of an effective AML/CFT program.
- Developing AML/CFT policies and procedures.

- Establishing effective compliance controls.
- Governance and oversight of AML/CFT programs.

Financial Crime Monitoring

- Transaction monitoring principles.
- Financial crime detection methodologies.
- Monitoring systems and alert management.
- Identifying suspicious activities.
- Red flags and indicators of financial crime.

Escalation and Reporting Processes

- Internal escalation mechanisms.
- Roles of compliance and financial crime teams.
- Managing suspicious activity concerns.
- Regulatory communication requirements.

Day 3:

Customer Due Diligence, EDD & Sanctions Compliance

Customer Due Diligence CDD

- CDD principles and regulatory expectations.
- Customer identification and verification processes.
- Risk-based customer classification.
- Managing customer information and records.

Enhanced Due Diligence EDD

- Identifying high-risk customers.
- EDD requirements and documentation.
- Managing complex ownership structures.

- Continuous customer monitoring.

Politically Exposed Persons PEPs

- Understanding PEP risks.
- Identification and assessment processes.
- Approval and monitoring requirements.

Sanctions Screening

- Overview of sanctions compliance requirements.
- OFAC sanctions lists.
- United Nations sanctions lists.
- Domestic KSA sanctions requirements.
- Screening processes and escalation procedures.

Day 4:

Regulatory Reporting, Compliance Risk Assessment & Horizon Scanning

Regulatory Reporting Obligations

- SAMA reporting requirements.
- Regulatory submission timelines and formats.
- Reporting accuracy and data quality considerations.
- Managing regulatory reporting processes.

Compliance Risk Assessment

- Identifying compliance risks.
- Risk assessment methodologies.
- Evaluating control effectiveness.
- Developing compliance improvement plans.

Regulatory Horizon Scanning

- Monitoring regulatory developments.
- Identifying emerging compliance risks.
- Assessing regulatory impact on business operations.
- Preparing organizations for regulatory changes.

Day 5:

Compliance Culture, Whistleblowing & Future Regulatory Challenges

Whistleblowing Frameworks

- Importance of speak-up culture.
- Designing effective whistleblowing frameworks.
- Confidential reporting channels.
- Investigation and response processes.
- Protecting whistleblowers.

Building a Strong Compliance Culture

- Role of leadership in compliance culture.
- Employee awareness and accountability.
- Compliance communication strategies.
- Measuring compliance effectiveness.

Future Compliance Challenges

- Digital transformation and regulatory impact.
- Emerging financial crime risks.
- Technology-enabled compliance monitoring.
- Future trends in banking compliance.
- Strengthening regulatory resilience.

Registration form on the Training Course: Advanced Banking Compliance, AML/CFT Governance & Regulatory Risk Management

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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

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