Training Course:
Compliance Regulatory Professionals

15 - 19 March 2027
Kuala Lumpur (Malaysia)

Training Course:
Compliance Regulatory Professionals

Training Course code: SC234697 From: 15 - 19 March 2027 Venue: Kuala Lumpur (Malaysia) - Training Course Fees: 6300 Euro

Introduction

This Regulatory Professionals training course is designed to provide with the knowledge and skills needed to understand and support regulatory compliance and enterprise wide risk management. Also, to know how to deal with the rules, the markets, products and transactions, to promote best practices and international standards that align with business and regulatory requirements.

This is an intensive and highly practical training program qualifying you to become proficient in compliance. It provides the necessary skills to build right relation with your regulators, your board of directors and to deal with individuals at all levels of your organization.

This training course also covers several topics regarding the regulatory bodies for all firms to establish and maintain effective systems and controls, to develop effective compliance monitoring program and to build a risk based Customer Due Diligence CDD process. It provides you with the best techniques to manage effectively and responsibly in compliance with all applicable laws and regulations. As well the advanced tools to protect your business from compliance risk and supports you with professional standards and internal policies in corporate governance and risk management.

Course Objectives

By the end of this training course, you will be able to:

- Understand the objectives & roles of regulation
- Understand the responsibilities of compliance
- Develop a good understanding of compliance principles
- Understand the concept of Compliance and the efforts being made to manage the risk related to it
- Have the skills required to approach compliance and its related functions with confidence
- Identify and understand compliance risks, and the consequences of noncompliance, to mitigate effectively the risk of compliance breaches
- Develop an appropriate Compliance Manual
- Create a compliance culture
- Protect the organization's reputation
- The relationship between Compliance and Corporate Governance
- Develop compliance programs to fight money laundering practices, and to apply Corporate Governance

rules

- Develop best strategies to help managers and prevent risk within your firm

Target Audience

This training course is designed to deliver the knowledge and skills, providing details of the latest policies and procedures to:

- Compliance Officers / Managers and their Deputies
- Managers with responsibility for internal compliance controls
- Legal, Audit, Risk, Operations and IT Specialists
- Risk Managers
- Staff working in risk functions
- Internal & External Audit Staff
- Regulatory Representatives
- AML Officers
- Accountants
- Lawyers
- All Staff working in or aspiring to work in the compliance area

Course outline

Day 1

The Regulatory Environment and the Role of Regulators

- An Overview of the Regulatory Environment
- The Objectives of Financial Services Regulation
- International Regulation
- The Role of the Regulators
- What do the Regulators expect?
- Your Jurisdiction Environment
- The Best Practice in Regulatory Obligation

- ISO 19600: Compliance Management Systems

Day 2

The Compliance Functions

- Compliance Structure
- The Role of the Board of Directors, the Supervisors, the Internal and External Auditors
- Responsibilities of the Compliance Officer
- Key Compliance Activities and Processes
- Compliance and Corporate Governance
- Corporate Governance and Financial Crime Prevention
- Compliance Training
- Conflicts of Interest
- Ongoing Compliance with Laws and Regulations

Day 3

Risk Management and Compliance Risk

- Understanding a Risk Management Approach
- Creating a Risk Management Approach
- The Definition of Governance, Risk and Compliance
- The Need for Internal Controls
- Identify, Mitigate and Control Risks Effectively
- Approaches to Risk Assessment
- The Importance of Compliance Culture
- Managing Key Relationships - external and internal

Day 4

Establishing an Effective Compliance Function

- Factors to be Considered in Designing a Compliance System

- Developing an Internal Compliance System
- Implementing and Communicating Internal Compliance Arrangement
- Compliance Manual
- Establishing Policies and Procedures
- Creating a Compliance Monitoring Programmed
- The Need for Independence
- Record Keeping ƒ Compliance Reports
- Managing the Regulators and Change in Regulations

Day 5

Managing the Risk of Money Laundering and Financial Crimes

- Understanding Money Laundering Offences
- MLRO and Compliance Officer
- The Risk-based Approach to Money Laundering / Terrorist Financing
- Suspicious Activity Monitoring, Detection and Reporting
- Preventing Fraud
- Bribery and Corruption
- Insider Trading
- Market Abuse
- Sanctions and their Role in the Global Economy

Registration form on the Training Course:
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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: ....
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Payment Method

☐ Please find enclosed a cheque made payable to Global Horizon

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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.