



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

*3 - 7 May 2027
Madrid (Spain)*

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

Training Course code: PC234698 From: 3 - 7 May 2027 Venue: Madrid (Spain) - Training Course Fees: 5775 € Euro

Introduction

This course explores the complexity of challenges faced by compliance officers and managers due to evolving regulations, dynamic business environments, and emerging risk scenarios. Participants will learn, practice, and assess best-practice recommendations for the role of Legal and Compliance Officers, emphasizing statutory, regulatory, and organizational compliance, as well as ensuring staff are appropriately trained.

Course Objectives

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

- Understand the role and responsibilities of the compliance function, including Compliance Officer roles and necessary skills.
- Develop and implement effective compliance policies and procedures.
- Understand key legislation and ethical requirements relevant to the compliance function.
- Appreciate the relationship between the compliance department and the legal affairs department.
- Identify and manage key risk areas, including:
 - Money laundering
 - Cybercrime
 - Bribery and corruption
 - Data protection breaches
 - Financial services regulations

Target Audience

- Compliance Officers and employees
- Risk Managers
- Compliance Managers, Associates, and Analysts
- Contract Executives and Managers
- Staff with responsibilities related to legal compliance

This program is suitable for anyone in a compliance or risk management role, as well as individuals seeking a thorough understanding of organizational compliance principles.

Course Outline 5 Days

Day 1 - Understanding Risk, Statutory, Legal and Regulatory Compliance

- Effective legal and regulatory compliance
- Conduct of business in regulated industries
- Prudential compliance and integrity
- Managing regulatory compliance in a dynamic environment
- Regulatory frameworks, enforcement, and potential liability

Day 2 - Understanding the Legal and Regulatory Environment

- Law and regulation: objectives and sources
- Prevention of money laundering and financial crime
- Terrorist financing and the USA PATRIOT Act
- Fraud, corruption, market manipulation, and insider dealing

Day 3 - Business Knowledge and Awareness

- Corporate governance codes and regulatory principles
- Overview of commercial laws and legal mechanisms
- Compliance structures and processes
- Risk-based monitoring and investigating compliance breaches
- Compliance training and development

Day 4 - Compliance in Practice

- Compliance governance and internal/external relationships
- Links between compliance, culture, and ethics
- Internal compliance controls and practical considerations
- Risk management and oversight

Day 5 - Legislation of Relevance to the Compliance Function: Risk Management

- Identifying potential dispute areas and regulatory risks
- Designing effective risk management systems
- Key risk areas: financial crime, cybercrime, bribery, data protection
- Best-practice risk management techniques
- Integrating compliance with legal department functions

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

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

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