MAWA EVENTS

Address: No. 857, Block A2. Leisure Commerce Square - No 9., 46150 Petaling Jaya, Selangor, Malaysia

Phone: +601116373203 | **Email:** info@mawaevents.net

MIDDLE & BACK OFFICE MANAGEMENT

"Enhancing Operational Efficiency, Compliance, and Risk Control in Financial and Support Functions"

Schedule

Date	Venue	Fees
26 – 27 Feb 2026	Kuala Lumpur, Malaysia	USD 1995 per delegate

► **Available delivery methods:** Face-to-Face & Online Training

Introduction

In today's fast-paced and highly regulated business environment, middle and back office functions are critical to operational stability, risk control, and efficient transaction processing. These departments play a central role in supporting front office activities, ensuring compliance, managing risk, and delivering seamless client experiences.

This two-day course provides professionals with practical knowledge and tools to manage and optimize middle and back office operations. It focuses on operational workflows, reconciliation processes, risk and control frameworks, and the application of technology for greater accuracy and efficiency in financial, administrative, and support functions.

Objectives

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

- Understand the structure, responsibilities, and functions of middle and back office operations
- Identify key risks and apply internal control mechanisms to mitigate them
- Improve reconciliation, settlement, and post-trade processing efficiency
- Enhance compliance reporting and regulatory alignment
- Streamline workflows and reduce operational bottlenecks through process mapping and automation

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Why Attend

- Develop a comprehensive understanding of middle and back office operations
- Learn best practices in operational risk control, compliance, and transaction support
- Discover how to apply automation and technology for processing accuracy
- Gain insights into reconciliation, trade settlement, and internal reporting methods
- Enhance your ability to manage cross-functional dependencies and SLAs

Target Audience

This program is designed for:

- Operations managers and officers in banking, finance, and capital markets
- Middle and back office professionals in trade processing and settlements
- Risk and compliance analysts
- Finance operations teams and internal auditors
- Administrative support leaders and process managers

Individual Benefits

Key competencies that will be developed include:

- Understanding of operational workflows and risk controls
- Capability to manage transaction processing and reconciliations
- Practical skills in documenting, reviewing, and improving internal processes
- Enhanced knowledge of compliance and audit readiness
- Greater efficiency in managing support functions and vendor coordination

Organizational Benefits

Upon completing the training course, participants will demonstrate:

- Stronger governance and compliance in support functions
- Reduced operational errors, fraud risk, and reconciliation discrepancies
- Improved client servicing and internal stakeholder coordination
- Better use of automation tools for time and cost savings
- Streamlined processing, reporting, and audit trails

Instructional Methodology

The course follows a blended learning approach combining theory with practice:

- Strategy Briefings – Concepts and frameworks for managing operations and compliance in back-office functions
- Case Studies – Real-life incidents of operational failures and how to prevent them
- Workshops – Hands-on activities in mapping workflows and identifying control gaps
- Peer Exchange – Group exercises and problem-solving sessions on operational risks
- Tools – Checklists for reconciliations, control templates, and reporting dashboards

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Course Outline

DETAILED 2-DAY COURSE OUTLINE

Training Hours: 7:30 AM – 3:30 PM **Daily Format:** 3–4 Learning Modules | Coffee breaks: 09:30 & 11:15 | Lunch Buffet: 01:00 – 02:00

Day 1: Core Functions and Controls in Middle & Back Office

- Module 1: Overview of Middle & Back Office Functions (07:30 – 09:30) • Roles and responsibilities in middle and back office environments • Coordination with front office, IT, finance, and compliance • Typical workflows in financial services and support operations
- Module 2: Transaction Processing and Settlement (09:45 – 11:15) • Trade capture, confirmation, and settlement • Common delays and errors in post-trade operations • Payment processing, netting, and clearing mechanisms
- Module 3: Reconciliation and Exception Management (11:30 – 01:00) • Types of reconciliations (cash, trade, position) • Managing exceptions and break resolution processes • Using reconciliation tools and automation
- Module 4: Workshop – Process Mapping (02:00 – 03:30) • Documenting current-state workflows • Identifying risks and inefficiencies • Designing improved future-state processes

Day 2: Risk, Compliance and Process Optimization

- Module 1: Operational Risk and Internal Controls (07:30 – 09:30) • Sources of operational risk in support functions • Internal control frameworks and key control points • Case examples of control failures and remediation
- Module 2: Compliance and Regulatory Reporting (09:45 – 11:15) • Key compliance requirements in financial operations • AML, KYC, and reporting obligations • Preparing for internal and external audits
- Module 3: Technology and Performance Monitoring (11:30 – 01:00) • Role of automation in improving processing accuracy • Dashboards and KPIs for operations management • Using technology for SLA tracking and performance review
- Module 4: Final Workshop – Building an Operations Control Plan (02:00 – 03:30) • Drafting a simple control plan for a back-office function • Group review and peer feedback • Wrap-up and action planning

Certification

Participants will receive a Certificate of Completion in Middle & Back Office Management, validating their ability to optimize support operations, enforce internal controls, and ensure compliance within financial or administrative environments.

Why Choose MAWA Events

- **Global Expertise:** More than 17 years of experience in professional training and consulting.
- **Industry-Leading Faculty:** Courses delivered by seasoned professionals with hands-on experience.
- **Practical Insights:** Learn to turn theory into actionable strategies for real-world business impact.
- **Client-Focused Solutions:** Customized programs designed to achieve your organisation’s unique goals.

In-House / Customized Training Interested in running this course for your team? Please contact us:	TEL: **+601116373203**	EMAIL: **info@mawaevents.net**

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