

# PLANNING COST EFFECTIVE COLLATERAL MANAGEMENT TO BE IN COMPLIANCE WITH NEW REGULATIONS

*“Ensuring Capital Efficiency, Risk Mitigation, and Regulatory Readiness in a Changing Financial Environment”*

## Schedule

Date	Venue	Fees (Face-to-Face)
01 - 03 Sep 2026	Manama, Bahrain	USD 2495 per delegate

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

## Introduction

In today’s dynamic financial markets, effective collateral management is critical for risk mitigation, liquidity optimization, and regulatory compliance. With the rise of new regulatory frameworks such as EMIR, Dodd-Frank, and Basel III/IV, firms must strategically manage collateral while minimizing costs and operational risks.

This 3-day intensive training course is designed to help professionals develop a robust, compliant, and cost-effective collateral management framework. Participants will explore the full collateral lifecycle—from eligibility and valuation to margining and reporting—while aligning their strategy with regulatory requirements and market expectations.

## Objectives

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

- Understand the regulatory landscape impacting collateral management (e.g., EMIR, Basel III, SFTR)
- Design a cost-effective, risk-aligned collateral strategy for derivatives and financing transactions
- Optimize collateral allocation, substitution, and transformation
- Implement effective processes for collateral valuation, margining, and dispute resolution
- Establish governance, reporting, and technology systems to meet compliance standards

## Why Attend

- Learn how to manage collateral efficiently in response to capital and liquidity rules
- Avoid regulatory penalties and operational risk through compliant frameworks
- Gain clarity on the interaction between collateral, risk, and capital management
- Benchmark your practices against global standards and peers
- Strengthen your organization's ability to handle margin calls, stress events, and audits

## Target Audience

This program is designed for:

- Collateral, treasury, and liquidity managers
- Risk management and regulatory compliance professionals
- Middle-office and back-office operations staff
- Derivatives traders, credit officers, and clearing specialists
- Legal, finance, and audit professionals involved in collateral processes

## Individual Benefits

Key competencies that will be developed include:

- Understanding of the end-to-end collateral management process
- Interpretation of regulatory mandates and operational impacts
- Techniques for optimizing collateral usage and cost
- Skills in managing margin disputes and daily reconciliation
- Familiarity with collateral technologies, platforms, and reporting tools

## Organizational Benefits

Upon completing the training course, participants will demonstrate:

- Greater compliance with financial market regulations
- Improved capital and collateral efficiency
- Lower counterparty and operational risk exposure
- Enhanced transparency and readiness for audits and reviews
- Streamlined collateral workflows and cost control

## Instructional Methodology

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

- Strategy Briefings - Regulations, market infrastructure, and collateral best practices
- Case Studies - Examples of collateral failures and optimization techniques
- Workshops - Margin calculation, eligibility screening, and reporting planning
- Peer Exchange - Industry insights, risk scenarios, and compliance challenges
- Tools - Collateral tracking templates, regulatory checklists, and valuation models

## Course Outline

### DETAILED 3-DAY COURSE OUTLINE

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

#### Day 1: Collateral Management Landscape and Regulations

- Module 1: The Role of Collateral in Financial Markets (07:30 - 09:30) • Types of collateral: cash, securities, commodities • Collateral in OTC derivatives, repos, and securities lending • Risks mitigated through collateral use
- Module 2: Regulatory Requirements and Implications (09:45 - 11:15) • EMIR, Dodd-Frank, BCBS-IOSCO margin rules • Basel III/IV capital and liquidity implications • Regulatory reporting: SFTR, UMR, and stress testing
- Module 3: Governance and Risk Frameworks (11:30 - 01:00) • Policy setting and control structures • Collateral eligibility criteria and haircuts • Legal documentation: CSA, GMRA, ISDA
- Workshop - Regulatory Gap Assessment (02:00 - 03:30) • Review your firm's compliance readiness • Map collateral processes to regulatory obligations

#### Day 2: Collateral Operations and Optimization Techniques

- Module 1: The Collateral Lifecycle and Operations (07:30 - 09:30) • Trade capture and margining • Daily margin calls and dispute resolution • Substitution, recall, and fails management
- Module 2: Collateral Valuation and Monitoring (09:45 - 11:15) • Pricing sources, haircut adjustments, and mark-to-market • Collateral eligibility and concentration limits • Stress testing and intraday monitoring
- Module 3: Cost-Efficient Collateral Optimization (11:30 - 01:00) • Collateral transformation and tri-party structures • Use of CCPs and collateral netting • Optimization algorithms and prioritization
- Workshop - Margin Call Simulation (02:00 - 03:30) • Calculate initial/variation margin • Respond to collateral shortfall and substitution requests

#### Day 3: Technology, Reporting, and Strategic Alignment

- Module 1: Technology Infrastructure for Collateral (07:30 - 09:30) • Collateral management systems and automation tools • Data reconciliation and exception handling • Integration with treasury, risk, and front office platforms
- Module 2: Reporting and Audit Readiness (09:45 - 11:15) • Internal and regulatory reporting requirements • Audit trails, control documentation, and exception logs • Performance dashboards and compliance KPIs
- Module 3: Strategic Collateral Planning and Future Trends (11:30 - 01:00) • Collateral under stress and liquidity scenarios • ESG-linked collateral trends and sustainable finance • Innovation: blockchain, smart contracts, and tokenized collateral
- Final Workshop - Collateral Strategy Design (02:00 - 03:30) • Design a compliance-aligned, cost-effective collateral program • Present strategy and receive feedback

## Certification

Participants will receive a Certificate of Completion in Collateral Management & Regulatory Compliance, validating their ability to plan and operate collateral programs that are both efficient and fully aligned with evolving financial regulations.

## 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**

© Material published by MAWA Events shown here is copyrighted. All rights reserved. Any unauthorized copying, distribution, use, dissemination, downloading, storing (in any medium), transmission, reproduction or reliance in whole or any part of this course outline is prohibited and will constitute an infringement of copyright.