

COMPLIANCE WORKSHOP FOR FINANCIAL SERVICES FIRMS

“Strengthening Regulatory Adherence, Risk Management, and Ethical Culture in Financial Institutions”

Schedule

Venue (InHouse)	Fees
At Your Organization Premises	Ask For The Quotation

► Available delivery methods: In-House Training

Introduction

Regulatory compliance is a cornerstone of sustainable financial operations. As global regulations tighten and enforcement becomes more rigorous, financial services firms must ensure that their compliance frameworks are robust, adaptive, and effectively implemented across all levels of the organization.

This intensive 5-day workshop delivers a comprehensive understanding of compliance principles, regulatory frameworks, risk mitigation, and ethical practices. Participants will gain the skills and knowledge necessary to navigate complex regulatory environments, implement effective compliance programs, and foster a culture of accountability and transparency.

Objectives

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

- Understand the legal and regulatory landscape for financial services
- Design and implement effective compliance frameworks and policies
- Identify, assess, and mitigate compliance risks
- Foster a culture of compliance and ethical behavior
- Prepare for regulatory audits, inspections, and reporting obligations

Why Attend

- Gain in-depth understanding of evolving financial regulations
- Strengthen your institution's compliance strategy and operations
- Learn how to mitigate reputational and financial risks
- Enhance audit readiness and regulatory engagement
- Promote ethical behavior and governance across departments

Target Audience

This program is designed for:

- Compliance Officers and Managers
- Risk and Internal Control Professionals
- Legal and Regulatory Affairs Staff
- Internal Auditors and Governance Teams
- Financial Institution Executives and Directors

Individual Benefits

Key competencies that will be developed include:

- Mastery of regulatory compliance fundamentals
- Stronger risk assessment and control evaluation skills
- Practical experience with compliance monitoring tools
- Improved ability to lead internal compliance reviews
- Confidence in handling regulatory inquiries and inspections

Organizational Benefits

Upon completing the training course, participants will demonstrate:

- Improved compliance management and reporting accuracy
- Reduced exposure to regulatory penalties and reputational risk
- Stronger alignment between operations and regulatory expectations
- Enhanced internal culture of ethics and accountability
- More effective communication with regulators and stakeholders

Instructional Methodology

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

- Strategy Briefings - Focus on global regulatory frameworks, governance models, and compliance mandates
- Case Studies - Review real compliance failures and success stories in financial institutions
- Workshops - Develop policies, perform risk assessments, and simulate compliance audits
- Peer Exchange - Share challenges and techniques with compliance professionals across markets
- Tools - Templates for compliance risk registers, monitoring plans, and regulatory checklists

MAWA EVENTS

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Course Outline

DETAILED 5-DAY COURSE OUTLINE (Customizable)

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: Understanding Regulatory Frameworks in Financial Services

- Module 1: Overview of Global and Regional Regulations (07:30 – 09:30)
 - Basel, FATF, SEC, FCA, and other major financial regulators
 - Key compliance concepts and regulatory trends
 - Implications of non-compliance and case examples
- Module 2: Roles and Responsibilities of the Compliance Function (09:45 – 11:15)
 - Organizational placement of compliance departments
 - Compliance officer duties and ethical standards
 - Building a compliance-driven culture
- Module 3: Compliance Risk Identification and Mapping (11:30 – 01:00)
 - Compliance risk taxonomy and classification
 - Risk mapping by function, product, and jurisdiction
 - Linking regulatory obligations to risk exposure

Day 2: Building an Effective Compliance Program

- Module 1: Elements of a Strong Compliance Framework (07:30 – 09:30)
 - Policies, procedures, codes of conduct
 - Compliance control design and documentation
 - Aligning compliance with corporate governance
- Module 2: Designing Monitoring and Testing Programs (09:45 – 11:15)
 - Risk-based monitoring strategy
 - Transaction sampling and surveillance
 - Issue identification and root cause analysis
- Module 3: Recordkeeping and Documentation Standards (11:30 – 01:00)
 - Regulatory recordkeeping requirements
 - Documentation retention policies
 - Digital compliance systems and audit trails

Day 3: Conduct, Ethics, and Internal Controls

- Module 1: Promoting Ethical Behavior in Financial Services (07:30 – 09:30)
 - Values-based compliance and organizational culture
 - Whistleblower protection and misconduct reporting
 - Incentives and ethical leadership
- Module 2: Internal Control Systems for Compliance (09:45 – 11:15)
 - COSO and ISO control frameworks
 - Role of internal controls in risk mitigation
 - Coordination between compliance and internal audit
- Module 3: Managing Conflicts of Interest and Insider Trading (11:30 – 01:00)
 - Personal trading, gifts, and conflict disclosure
 - Market abuse and insider information safeguards
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Building awareness and preventive strategies

Day 4: AML, Sanctions, and Specialized Compliance Areas

- Module 1: Anti-Money Laundering (AML) Program Essentials (07:30 – 09:30)
- Customer due diligence (CDD) and KYC procedures
- Suspicious transaction monitoring and reporting
- PEP screening and ongoing surveillance
- Module 2: Economic Sanctions Compliance (09:45 – 11:15)
- Understanding OFAC, UN, and EU sanctions regimes
- Risk-based sanctions screening practices
- Handling sanctions breaches and regulatory action
- Module 3: Emerging Compliance Areas (11:30 – 01:00)
- ESG and sustainability regulations
- Cybersecurity and data privacy compliance
- Fintech and cryptocurrency compliance risks

Day 5: Compliance Integration, Simulation & Audit Preparation

- Module 1: Conducting Internal Compliance Reviews (07:30 – 09:30)
- Planning and executing compliance reviews
- Documentation and evidence gathering
- Remediation and continuous improvement
- Module 2: Regulatory Engagement and Reporting (09:45 – 11:15)
- Preparing for regulatory audits and examinations
- Regulatory correspondence and follow-up
- Communicating issues with boards and senior management
- Module 3: Compliance Simulation and Action Planning (11:30 – 01:00)
- Simulated audit walkthrough and findings report
- Group presentations on compliance frameworks
- Final review, personal action plans, and feedback

Certification

Participants will receive a Certificate of Completion in Compliance for Financial Services Firms, confirming their expertise in regulatory frameworks, compliance risk management, and ethical business practices essential to the financial services industry.

Why Choose MAWA Events

- **Global Expertise:** More than 17 years of experience in professional training and consulting.
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In-House / Customized Training

Interested in running this course for your team?

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