

CONDUCT RISK & COMPLIANCE MANAGEMENT IN FINANCIAL SERVICES

“Building a Culture of Ethical Conduct and Regulatory Excellence”

Schedule

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

► **Available delivery methods:** In-House Training

Introduction

As global financial institutions face increasing regulatory scrutiny, managing conduct risk and ensuring compliance have become critical priorities. This comprehensive 5-day training offers participants an in-depth understanding of conduct risk, regulatory expectations, governance structures, and the tools necessary to foster ethical behavior across the organization.

Participants will explore best practices in compliance frameworks, employee accountability, and monitoring systems to identify, assess, and mitigate misconduct risks while aligning with both internal and external regulatory standards.

Objectives

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

- Define and distinguish conduct risk within the compliance framework
- Develop effective conduct risk governance and accountability models
- Implement compliance monitoring, reporting, and escalation mechanisms
- Align conduct policies with regulatory requirements and organizational culture
- Analyze real-world cases of misconduct and regulatory enforcement actions

Why Attend

- Gain clarity on the evolving regulatory landscape for conduct risk
- Strengthen compliance and ethical decision-making across business lines
- Improve transparency, reporting, and internal controls
- Learn from recent enforcement cases and global best practices
- Support a values-based approach to financial services delivery

Target Audience

This program is designed for:

- Compliance officers and risk managers
- Internal auditors and legal advisors
- Heads of departments and senior executives
- HR and ethics professionals
- Regulators and supervisory authorities

Individual Benefits

Key competencies that will be developed include:

- Ability to identify and assess conduct-related risks
- Skills to build and communicate effective codes of conduct
- Greater understanding of accountability and whistleblower protection
- Practical tools to embed ethical behavior in operations
- Competency in designing and evaluating training and compliance metrics

Organizational Benefits

Upon completing the training course, participants will demonstrate:

- Improved compliance culture and ethical decision-making
- Reduced risk of misconduct, fines, and reputational damage
- Stronger regulatory relationships and audit readiness
- Enhanced stakeholder trust through transparency and integrity
- Alignment of organizational values with operational behavior

Instructional Methodology

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

- Strategy Briefings - Deep dive into global conduct risk standards and regulatory expectations
- Case Studies - Real-world enforcement cases and corporate misconduct analysis
- Workshops - Interactive exercises on risk identification and compliance reporting
- Peer Exchange - Collaborative discussions on cultural transformation and lessons learned
- Tools - Templates for risk registers, conduct KPIs, and training effectiveness evaluation

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: Introduction to Conduct Risk & Compliance Fundamentals

- Module 1: Defining Conduct Risk in Financial Services (07:30 – 09:30)
 - What is conduct risk and how is it evolving?
 - Regulatory focus on culture and ethical behavior
 - Key components of a conduct risk management framework
- Module 2: The Compliance Function in Modern Institutions (09:45 – 11:15)
 - Role, structure, and accountability of compliance teams
 - Interplay between compliance, risk, and internal audit
 - Reporting and escalation protocols
- Module 3: Conduct Risk in Governance and Oversight (11:30 – 01:00)
 - Board and executive responsibilities
 - Conduct risk in policy setting and delegation of authority
 - Building governance models that prevent misconduct

Day 2: Regulatory Environment and Global Expectations

- Module 1: Global Regulatory Trends and Enforcement (07:30 – 09:30)
 - Key regulators: FCA, MAS, SEC, DFSA, etc.
 - Global benchmarks: SMCR, MiFID II, Basel, IOSCO
 - Trends in enforcement and regulatory expectations
- Module 2: Ethics and Culture in Financial Institutions (09:45 – 11:15)
 - Tone at the top and organizational behavior
 - Role of leadership and communications in culture shaping
 - Measuring culture and values in practice
- Module 3: Codes of Conduct and Staff Obligations (11:30 – 01:00)
 - Drafting and embedding a code of conduct
 - Training, declarations, and conflict of interest management
 - Accountability and disciplinary procedures

Day 3: Managing Misconduct, Reporting, and Surveillance

- Module 1: Identifying and Assessing Conduct Risk (07:30 – 09:30)
 - Risk indicators and misconduct categories
 - Behavior mapping and risk registers
 - Assessment tools and root cause analysis
- Module 2: Monitoring and Surveillance Techniques (09:45 – 11:15)
 - Use of systems for monitoring conduct
 - Trade surveillance and communication monitoring
 - Red flags and escalation
- Module 3: Whistleblower Programs and Escalation (11:30 – 01:00)
 - Protecting whistleblowers and maintaining anonymity
 - Legal obligations and internal processes
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Response protocols and disciplinary follow-through

Day 4: Compliance Training, Assessment & Reporting

- Module 1: Compliance Training Frameworks (07:30 – 09:30)
- Designing and delivering effective training programs
- Mandatory vs. targeted training
- Measuring training effectiveness
- Module 2: Metrics, KPIs, and Conduct Risk Reporting (09:45 – 11:15)
- Defining and monitoring conduct KPIs
- Reporting dashboards and board communication
- Integrating data from multiple sources
- Module 3: Internal Audits and External Reviews (11:30 – 01:00)
- Conduct audits and control testing
- Independent reviews and benchmarking
- Regulatory and third-party assessments

Day 5: Case Studies and Culture Transformation

- Module 1: Case Studies in Corporate Misconduct (07:30 – 09:30)
- Real-world financial scandals and root causes
- Lessons from enforcement actions
- Organizational failure analysis
- Module 2: Embedding Ethical Behavior (09:45 – 11:15)
- Change management and long-term culture strategy
- Incentives and performance alignment
- Behavior-based appraisal systems
- Module 3: Capstone Project and Group Presentations (11:30 – 01:00)
- Team-based design of a conduct risk framework
- Final presentation and peer evaluation
- Summary, key learnings, and feedback

Certification

Participants will receive a Certificate of Completion in Conduct Risk & Compliance Management, verifying their mastery of modern compliance frameworks, conduct risk mitigation, and ethical governance in financial institutions.

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.

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