MAWA EVENTS

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

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

CONDUCT RISK MANAGEMENT & COMPLIANCE IN GLOBAL MARKETS

"Upholding Integrity and Governance in an Evolving Regulatory Landscape"

Schedule

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

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

Introduction

As financial institutions expand globally, the complexity of managing conduct risk and meeting international compliance expectations has grown exponentially. This intensive training provides professionals with practical tools to build robust conduct risk management frameworks, align with global regulations, and promote a culture of ethical accountability across geographies.

Participants will explore cross-border compliance challenges, emerging trends, and case studies from major financial markets to reinforce their knowledge of managing employee behavior, regulatory risk, and institutional integrity.

Objectives

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

- Identify key drivers and impacts of conduct risk in global markets
- Design integrated compliance strategies across jurisdictions
- Align organizational culture with ethical and regulatory expectations
- Implement monitoring, escalation, and reporting systems
- Analyze global misconduct cases and apply corrective governance measures

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Why Attend

- Understand how conduct risk varies across regulatory environments
- Learn from global compliance failures and enforcement actions
- Build an effective culture of accountability and behavioral oversight
- Align internal compliance practices with international best practices
- Equip your institution to respond proactively to conduct threat

Target Audience

This program is designed for:

- Global compliance and risk management professionals
- Heads of governance, legal, and internal audit departments
- Senior managers in multinational financial institutions
- Regulatory liaisons and ethics officers
- Supervisors from international banking and investment firms

Individual Benefits

Key competencies that will be developed include:

- Mastery of conduct risk identification across markets
- Enhanced compliance decision-making under global regulations
- Behavioral analysis and employee accountability practices
- Skills in reporting, culture change, and stakeholder engagement
- Understanding of tools for training, escalation, and whistleblower protections

Organizational Benefits

Upon completing the training course, participants will demonstrate:

- Stronger compliance culture across global branches
- Greater alignment with international regulatory standards
- Improved employee conduct and reduced risk of reputational damage
- Effective cross-border risk reporting and policy harmonization
- Reduced compliance costs through preventive strategies

Instructional Methodology

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

- Strategy Briefings – Deep dive into global conduct risk frameworks and multi-jurisdictional challenges
- Case Studies – Lessons from global compliance failures and successful governance reforms
- Workshops – Scenario planning, misconduct response, and ethical dilemma resolution
- Peer Exchange – Sharing practices across regulatory jurisdictions and corporate cultures
- Tools – Templates for conduct monitoring, global risk reporting, and cultural assessments

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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: Foundations of Conduct Risk in Global Markets

- Module 1: Introduction to Conduct Risk in Financial Institutions (07:30 – 09:30)
- The rise of conduct risk as a regulatory priority
- Impact of misconduct on global firms
- Key drivers of behavioral and cultural risk
- Module 2: Defining Global Compliance Expectations (09:45 – 11:15)
- Regulatory regimes: US (SEC, FINRA), UK (FCA), EU (ESMA), Asia (MAS, HKMA)
- SMCR, MiFID II, Basel IV and their relevance to conduct
- Role of compliance functions in international oversight
- Module 3: Global Conduct Risk Governance (11:30 – 01:00)
- Governance structures for multinational firms
- Policy harmonization across borders
- Creating cross-jurisdictional codes of conduct

Day 2: Ethics, Culture & Accountability Mechanisms

- Module 1: Building an Ethical Culture (07:30 – 09:30)
- Organizational values and tone at the top
- Behavioral incentives and cultural alignment
- Tools for cultural measurement and transformation
- Module 2: Accountability and Responsibility Structures (09:45 – 11:15)
- Role of leadership and management in conduct control
- Global applications of accountability frameworks (e.g., SMCR)
- Personal liability and compliance ownership
- Module 3: Designing and Enforcing Codes of Conduct (11:30 – 01:00)
- International best practices in conduct policy design
- Integrating ethics into performance management
- Communication, training, and declaration tracking

Day 3: Conduct Monitoring, Escalation & Surveillance

- Module 1: Monitoring Tools & Data Analytics (07:30 – 09:30)
- Behavior surveillance: communication, trade, and pattern detection
- Use of AI and analytics in misconduct detection
- Internal controls and audit support
- Module 2: Whistleblower Programs and Escalation Paths (09:45 – 11:15)
- Establishing anonymous reporting lines
- Managing and protecting whistleblowers
- Investigation protocols and global reporting
- Module 3: Handling Misconduct Investigations (11:30 – 01:00)
- Legal and reputational risks in cross-border investigations
- Documentation and reporting procedures
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Coordinating with global regulators

Day 4: Training, Metrics & Global Reporting

- Module 1: Conduct Risk Training Frameworks (07:30 – 09:30)
- Structuring global training and awareness campaigns
- Risk-based training programs by region and role
- Post-training assessment and compliance certification
- Module 2: Reporting and KPIs Across Markets (09:45 – 11:15)
- Aligning conduct KPIs with regulatory expectations
- Global dashboards and metrics integration
- Escalation and board-level reporting
- Module 3: Cross-Border Audits and Reviews (11:30 – 01:00)
- Challenges of global compliance audits
- Benchmarking against international peers
- Addressing audit findings and enhancing global readiness

Day 5: Conduct Failures, Case Studies & Future Readiness

- Module 1: Global Case Studies of Misconduct (07:30 – 09:30)
- Cross-border misconduct analysis (Wells Fargo, HSBC, LIBOR, etc.)
- Root cause analysis and cultural flaws
- Impacts and lessons learned
- Module 2: Global Trends in Compliance (09:45 – 11:15)
- ESG and conduct integration
- Digital transformation and regulatory technology
- Future of conduct and ethics in global finance
- Module 3: Group Project and Strategy Presentation (11:30 – 01:00)
- Design a cross-border conduct risk strategy
- Final presentations and expert feedback
- Wrap-up and key takeaways

Certification

Participants will receive a Certificate of Completion in Conduct Risk Management & Compliance in Global Markets, affirming their knowledge of global regulatory frameworks, ethical governance, and advanced compliance risk practices in cross-jurisdictional contexts.

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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