

## MANAGING CONDUCT RISK IN GLOBAL FINANCIAL MARKETS

*“Driving Ethical Behavior, Strengthening Trust – Managing Conduct Risk Effectively in a Complex Financial World”*

### Schedule

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

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

### Introduction

This advanced 5-day course focuses on identifying, assessing, and managing conduct risk in global financial markets. With increasing regulatory scrutiny and stakeholder expectations, financial institutions must embed ethical behavior and proactive risk culture into their operations. This training explores conduct risk frameworks, case studies, behavioral science insights, and regulatory expectations across jurisdictions.

### Objectives

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

- Understand the sources, drivers, and impact of conduct risk
- Build and implement a conduct risk management framework
- Align culture, incentives, and governance to support ethical outcomes
- Address regulatory compliance and enforcement expectations
- Evaluate behavioral risks using practical tools and case studies

## Why Attend

- Understand how conduct risk arises and spreads across financial institutions
- Learn from global scandals and regulatory penalties to avoid costly mistakes
- Build a robust conduct risk framework aligned with ethical values and strategic goals
- Strengthen your ability to detect early behavioral warning signs
- Improve your leadership in crisis response and culture transformation
- Participate in real-time simulations to test your ability to act under scrutiny

## Target Audience

- Risk, compliance & ethics officers
- Front-office and product control professionals
- Internal auditors & HR managers
- Legal, governance, and conduct risk teams
- Senior executives and culture leaders in banks and financial institutions

## Individual Benefits

- Deep understanding of conduct risk theory and application
- Improved ability to identify early behavioral risk signals
- Enhanced leadership capability to drive ethical culture
- Competitive advantage in global compliance and governance roles

## Organizational Benefits

- Reduced risk of reputational damage and regulatory penalties
- Stronger employee behavior oversight and tone-from-the-top
- Enhanced client trust and sustainable long-term business
- Better integration of compliance, HR, and risk management practices

## Instructional Methodology

- Real-life case studies (Wells Fargo, LIBOR, FX scandals)
- Behavioral science and ethics in decision-making
- Interactive simulations and group exercises
- Conduct risk assessment tools and reporting templates
- Regulator insights and industry best practices

## MAWA EVENTS

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

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

---



## Course Outline

DETAILED 5-DAY COURSE OUTLINE (Customizable) Training Hours: 07:30 AM – 03:30 PM Daily Format: 3–4 Modules | Coffee breaks: 09:30 & 11:15 | Lunch Buffet: 01:00 – 02:00

### Day 1: Introduction to Conduct Risk

- Module 1 (07:30 – 09:30): Understanding Conduct Risk
- Definitions and scope of conduct risk
- Conduct risk vs operational and compliance risk
- Global drivers: post-crisis regulations and trust deficit
- Module 2 (09:45 – 11:15): Regulatory Expectations and Enforcement
- FCA, MAS, APRA, SEC, and global regulators' perspectives
- Key standards: Treating Customers Fairly (TCF), SMCR, MiFID II
- Conduct-related penalties and lessons
- Module 3 (11:30 – 01:00): Case Study Analysis: Conduct Failures
- LIBOR, FX benchmark manipulation, Wells Fargo sales practices
- Behavioral root causes and leadership failures
- Group discussion: could your institution be at risk?

### Day 2: Culture, Governance & Risk Frameworks

- Module 4 (07:30 – 09:30): Risk Culture and Tone from the Top
- Elements of strong vs weak risk culture
- Leadership alignment and role modeling
- Culture assessments and internal surveys
- Module 5 (09:45 – 11:15): Conduct Risk Framework Design
- Identifying conduct risk indicators and sources
- Policies, controls, escalation, and monitoring
- Link to ERM, compliance, and HR
- Module 6 (11:30 – 01:00): Incentives, Performance & Conduct
- Role of performance metrics and rewards
- Balancing sales pressure with ethical behavior
- Aligning KPIs with desired conduct outcomes

### Day 3: Behavioral Risk and Human Factors

- Module 7 (07:30 – 09:30): Behavioral Science in Financial Services
- Why good people do bad things: cognitive biases
- Groupthink, obedience to authority, and risk blindness
- Nudging better decisions in high-stress environments
- Module 8 (09:45 – 11:15): Detecting Misconduct and Whistleblowing
- Early warning indicators: data, behavior, and culture
- Designing effective speak-up and whistleblowing frameworks
- Retaliation protection and trust building
- Module 9 (11:30 – 01:00): Simulation: Misconduct Detection & Response
- Live case: Sales misconduct in a global market desk
- Internal investigation role-play
- Reporting and disciplinary outcome

**Day 4: Managing Conduct Risk in the Front Office**

- Module 10 (07:30 – 09:30): Conduct in Trading, Sales, and Wealth Management
- High-risk areas and typical misconduct types
- Market manipulation, conflict of interest, misuse of client data
- Controls for managing front-office conduct
- Module 11 (09:45 – 11:15): Surveillance, Monitoring, and Reporting
- Trade surveillance, comms monitoring, behavioral analytics
- Linking HR data, exit interviews, and misconduct trends
- Escalation frameworks and board reporting
- Module 12 (11:30 – 01:00): Conduct Risk Assessment & Dashboard
- Conduct KRIs and reporting templates
- Self-assessment, maturity models, and audits
- Designing a conduct heat map for senior management

**Day 5: Integration, Action Planning & Simulation**

- Module 13 (07:30 – 09:30): Integrating Conduct Risk into Governance
- Linking conduct to risk appetite, policies, and business plans
- Conduct risk in mergers, new product approval, outsourcing
- Board responsibilities and oversight
- Module 14 (09:45 – 11:15): Final Conduct Risk Simulation
- Crisis scenario involving market abuse allegations
- Media pressure, whistleblowing, and regulatory response
- Team presentations and leadership evaluation
- Module 15 (11:30 – 01:00): Certification, Debrief, and Action Plans
- Group reflection and lessons learned
- Personal action plans for behavior, teams, and processes
- Closing remarks and certificate distribution

**Certification**

Participants will receive a Certificate of Completion in Managing Conduct Risk in Global Financial Markets, validating their readiness to lead ethical, risk-aware organizations.

**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**