



COMPLIANCE

ORGANISATION SHEET

Objective	<ul style="list-style-type: none">➤ Implementing the regulatory framework focusing on a different case study of a specific environment.➤ Mastering all aspects of a compliance officer's function covering all the technical, practical aspects and decisions a compliance officer has to deal with. <p>At the end of the training course, the participants will have a thorough understanding of the regulatory environment of a compliance officer.</p>
Methodology	Lectures, case studies and interactive workshops
Assessment	Business case with assessment by a jury
Target group	Junior and Senior Compliance officers, bankers willing to improve their knowledge of managing the Compliance Officer function
Experts	IFBL agreed high level Compliance-Experts with an in-depth understanding of all regulatory and organizational issues
Language	English
Participants	20 participants <u>Invited countries</u> : 34 countries
Dates	From: Monday 22 February 2009 To: Friday 26 February 2009



COMPLIANCE

CONTENT

1) General theory of Compliance

- Basel Committee definitions
- Historical development and incidents
- Compliance aspects
- Regulators/supervisors
- The financial world initiatives
- Compliance in Europe
- Compliance in Grand-Duchy de Luxembourg

2) AML/CTF principles

- Money laundering primary offences
- Counter terrorism financing
- Professional occupations subject to compliance controls
- Customer due diligence
- Obligation to pay attention to certain transactions
- Monitoring of high risk's clients
- Archiving of the documents
- Internal Organization
- Cooperation with the authorities

3) Practical organization AML/TF

- Customer's relationship
- Transactions monitoring

4) Case study AML/CTF

5) Market abuse

- Insider trading
- Market manipulation
- Financial instruments
- Obligations of the financial instruments issuers

6) Market Abuse practical organization

- Different activities

7) Market abuse case study

8) MIFID principles

- Objectives
 - Customer protection
 - Reinforcement of markets protection
- Clients segmentation



- Suitability
- Appropriateness
- Execution only
- Best execution
- Processing of customers orders
- Compliance charter
- Conflict of interests
- Employees own account transactions
- Subcontracting
- Communication with the authorities
- Rules of conduct

9) MIFID practical organization

10) MIFID case study

11) Principles : Data protection and confidentiality of information

- Freedom and human rights
- Data processing
- Illegitimate data processing
- Legitimacy of processing
- Data's category
- Monitoring
- Workstations controls
- Preliminary notification to the regulator, Commission Nationale pour la Protection des Données in Luxembourg
- Preliminary authorization from the regulator
- Data publicity
- Data transfer to third parties
- Subcontracting
- Data secrecy
- Professional secrecy
- Individual rights

12) Practical organisation : Data protection and confidentiality

- Functions
- Distribution of responsibilities and assignments
- Staff training
- Public awareness
- Management/guidance
- Reports

13) Case study : data protection and confidentiality

14) Manage the Compliance function

- Multi annual/annual plan
- Risk analysis
- Priorities
- Resources
- Relationship
- The Compliance charter and policy



15) Compliance function and other internal control functions

- Internal audit
- Risk Management

16) Compliance and ethics

- Compliance
 - Compliance with laws, rules and regulations
- Ethics
 - Ethical values
 - Corporate governance