
COMPLIANCE

ORGANISATION SHEET

Objective	<ul style="list-style-type: none">➤ Implementing the regulatory framework focusing on a 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 acquire a thorough understanding of the legal and 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 selection of high level Compliance Experts with an in-depth understanding of all regulatory and organizational issues
Language	English
Participants	20 participants <u>Invited countries</u> : Azerbaijan, Bosnia-Herzegovina, Bulgaria, Cape Verde, China, Croatia, Cyprus, Czech Republic, Egypt, El Salvador, Estonia, Georgia, Hungary, Kazakhstan, Kosovo, Latvia, Lebanon, Lithuania, Macedonia, Malta, Moldova, Mongolia, Montenegro, Poland, Romania, Russia, Serbia, Slovakia, Slovenia, Tunisia, Turkey, Ukraine
Dates	From Monday 13 February to Friday 17 February 2012 (Arrival date: Saturday, February 11; departure date: Saturday, February 18)

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) Manage the Compliance function

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

12) Compliance function and other internal control functions

- Internal audit
- Risk Management

13) Compliance and ethics

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