

DEVELOPING A REGULATORY COMPLIANCE RISK ASSESSMENT FRAMEWORK

COURSE DETAILS

As Compliance Risk continues to be a focal point for regulators, compliance officers in banks and other financial institutions are encouraged to take steps to ensure that compliance risk is adequately managed. European Banking Authority Guidelines on internal governance require that Compliance Function should ensure that compliance monitoring is carried out through a structured and well-defined compliance monitoring program. The purpose of this course is to provide participants with a practical understanding of Regulatory Compliance Risk Assessment framework both in theory and in practice.

TOPICS TO BE COVERED

Compliance Risk

- Definition of Compliance Risk

Regulatory Compliance Risk Assessment Framework

- Scope of Regulatory Compliance Risk Assessment Framework
- Effective Risk Assessment Framework

Compliance Monitoring Program

- Communication with third parties
- Record keeping

Building a Regulatory Compliance Risk Assessment

Framework and Methodology

- Data collection (products & services, applicable regulations, systems & controls)
- Inherent Risk Analysis
- Residual Risk Analysis
- Follow-up

Ongoing monitoring

Overcoming obstacles

Sample of a Risk Regulatory Assessment Methodology

TARGET GROUP

- Regulatory Compliance Officers
- Compliance Employees in Banks, EMIs, Investment Firms & any other regulated entity
- Operational Risk Officers
- Legal Advisors
- Internal Auditors

INSTRUCTOR - CONSTANTINO ELENI (LLB, LLM, CFE)

Eleni has earned a Law degree from the University of Thrace and LLM in International Commercial Law from the University of Leicester. Since 2017, she is a Certified Fraud Examiner and member of the Association of Certified Fraud Examiners. Over the years, Eleni has delivered a number of presentations and trained people in the areas of Fraud and Compliance. She has served as Compliance Officer and Money Laundering Reporting Officer for a Cypriot Investment Firm. Currently holds the position of the Head of the Regulatory Compliance Unit of a banking institution.



DATES & VENUE

LIMASSOL

CYPRUS COLLEGE

27/05 FRIDAY

9.00-16.00

€150 + VAT

NICOSIA

CYPRUS COLLEGE

31/05 TUESDAY

9.00-16.00

€150 + VAT

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DELIVERY METHOD

FACE-TO-FACE

LANGUAGE OF INSTRUCTION

ENGLISH