



ACCOUNTING AND FINANCE

Certificate In International
Compliance: Provide Compliance
Officers And Managers With Skills
That Can Be Immediate.

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Certificate In International Compliance: Provide Compliance Officers And Managers With Skills That Can Be Immediate.

Overview:

The changing regulatory environment has resulted in a growing need for compliance professionals. The ICA Certificate in International Compliance: Provide Compliance Officers and managers with skills that can be immediate is suitable for those new to compliance or in a junior role and will help you develop a good understanding of compliance fundamentals.

Who are the courses suitable for?

- Compliance employees
- Employees who have recently been given or aspire to be given compliance responsibilities
- Those employees with management responsibility for compliance employees
- Any person who wishes to acquire an understanding of fundamental regulatory compliance principles and how businesses can comply with them

What will you learn?

- Understanding the Regulatory Environment
- International Regulation
- Compliance in Practice
- Managing the Risk of Money Laundering, Terrorist Financing and Proliferation Financing
- Financial Crime Prevention

Course Outline:

- What is Compliance?
- What is Compliance Risk?
- Why is it important?
- What are the activities of the Compliance Department?
- Corporate Governance & Ethics
- The importance of strong corporate governance
- Key elements of a corporate governance regime
- Why do Ethics matter?
- Role of the Compliance Department in Corporate Governance & Ethics
- Effective Control Structure
- Essential elements of a robust organizational structure
- Risk management
- Management information
- Control functions Compliance & Internal Audit
- Staff, agents & outsourcing
- Business continuity
- Conduct of Business Rules
- Core COB rules

- Additional rules for Investment businesses
- Additional rules for Insurance businesses
- Conflicts of Interest
- Definition & Typology
- Corporate Conflicts
- Personal Conflicts
- Gifts & Inducements
- Chinese Walls & other controls
- Market Abuse and Insider Dealing
- Role of Compliance Function
- Key attributes of a Compliance Officer
- Compliance advisory function
- Compliance training and education
- Compliance Monitoring
- Compliance manuals and documentation
- 1 Hour Assessment
- Multiple Choice Questions
- Short Answer Questions