

## Certification Programme: International Compliance Foundation Level

### ORGANISATION SHEET

<b>Objective</b>	<p><i>Compliance has become a full component of a good corporate governance. In banks, the Compliance function is a mandatory internal control function, besides Risk Management and Internal Audit.</i></p> <p><i>The role of compliance is to protect the bank against several risks like reputation, legal or sanctions' risks.</i></p> <p>At the end of this seminar, the participants will</p> <ul style="list-style-type: none"><li>➤ understand the main aspects of a Compliance Officer's function covering the technical, practical aspects and decisions a Compliance Officer has to deal with</li><li>➤ be able to implement the regulatory framework focusing on a case study of a specific environment</li><li>➤ have acquired a good understanding of the legal and regulatory environment of a Compliance Officer.</li></ul>
<b>Methodology</b>	<p>Interactive seminar combining lectures, Luxembourg based case studies and exchanges of views, focusing on the Luxembourgish experience in the framework of the international standards</p>
<b>Target group</b>	<p>Compliance officers with or without experience, internal auditors, managers &amp; bankers willing to improve their knowledge of managing the compliance function.</p> <p>Participants may be commercial bankers, central bankers, and representatives of other financial institutions of the private sector involved in legal, economic or financial matters.</p>
<b>Examination</b>	<p>The participants will have their newly acquired knowledge validated through a written exam, and will be granted a certificate of success issued by the House of Training.</p>
<b>Expert</b>	<p>Mrs Amandine Laurent Chief Compliance Officer &amp; Data Privacy Officer, AXA 8 years' experience in Compliance in the financial sector in Luxembourg (banking, investment funds and insurance) Trainer in Compliance, AML and Data Privacy Member of the House of Training Quality Circle Compliance International</p>



THE GOVERNMENT  
OF THE GRAND DUCHY OF LUXEMBOURG



<b>Language</b>	A good command of English is required.
<b>Participants</b>	20 participants maximum
<b>Dates &amp; Location</b>	4.5 days 16-20 April 2018 3 for the course, 1 for the cases studies and review, and 0.5 for the exam

## **Certification Programme: International Compliance Foundation Level**

### **CONTENT**

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#### DAY 1:

- Corporate governance & definition of internal control system
- Definition of "compliance risk"
- Positioning of the Compliance function in the internal control structure
- Key roles and responsibilities of the board of directors, the executive management and the Compliance function
- Management of the Compliance function : charter, policy, principles, organisation types, responsibilities

#### DAY 2:

- Management of the Compliance function : charter, policy, principles, organisation types, responsibilities (continued)
- Setting up a compliance monitoring plan
- Fight against money laundering & terrorism financing (AML/CFT): role of the Compliance function on the fulfilment of the AML obligations
  - Concepts of money laundering & terrorist financing
  - Overview of EU and Luxembourg legislation in terms of AML/CFT and Sanction screening
  - Role of the Compliance function on the fulfilment of the AML/CFT obligations

#### DAY 3:

- Ethics, code of conduct
- Market Abuse
- Protection of the clients' interests and MIFID

#### DAY 4:

- Client confidentiality and personal data protection
- Other topics : cross-border activities, circumvention of rules, new products & activities
- Conclusions, current trends
- Case study

Wrap-up and revision time in presence of a House of Training expert

#### DAY 5 :

Written exam based on all covered topics during the Foundation course.

Important notes:

**The Compliance programme being currently under review, by delivery date, any training documentation shall be subject to updates amending the table of content as described herein.**

One of the core values of the House of Training is pragmatism, the training it provides is therefore: practical, current, modular and targeted.

Bank and finance professionals from all disciplines are facing one international challenge in particular, which is to work together to improve the quality of services while reducing costs, within a framework that is increasingly subject to strict regulations and the use of technology.

In order to face the challenge of delivering fully-adapted training programmes, the House of Training uses a quality management method that it calls "Quality Circles" that bring together professionals and practitioners from the financial sector with shared goals, philosophy and passion for learning. Our quality circles have an intimate knowledge of the real needs in the industry and collaborate actively with the House of Training to integrate this understanding into our programmes.