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## CERTIFICATION PROGRAMME: INTERNATIONAL COMPLIANCE FOUNDATION LEVEL

VIRTUAL CLASSROOM

### ORGANISATION SHEET

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#### Objective

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.

The role of compliance is to protect the bank against several risks like reputation, legal or sanctions' risks.

At the end of this seminar, the participants will

- understand the main aspects of a Compliance Officer's function covering the technical, practical aspects and decisions a Compliance Officer has to deal with
- be able to implement the regulatory framework focusing on a case study of a specific environment
- have acquired a good understanding of the legal and regulatory environment of a Compliance Officer.

#### Methodology

This course is NOT a webinar but an interactive programme. Participants are encouraged to be engaged in the sessions and to this end to have their webcam on and a well-functioning microphone. Interactive seminar combining lectures, Luxembourg based case studies and exchanges of views, focusing on the Luxembourgish experience in the framework of the international standards

#### Target group

Compliance officers with or without experience, internal auditors, managers & bankers willing to improve their knowledge of managing the compliance function.

Participants may be commercial bankers, central bankers, and representatives of other financial institutions of the private sector involved in legal, economic or financial matters.

#### Participants

Maximum 20 participants

#### Expert

Mr. Liévin TSHIKALI

Lawyer by training, Mr. Liévin Tshikali is an international Chief Risk & Compliance Officer, lecturer on regulatory matters with in depth skills in international and European aspects of banking and financial regulation, corporate governance, risk management, securities instruments and money laundering matters.

He is fully conversant with Corporate Governance practices, Corruption investigations, AIFMD, MiFID II, EMIR, FATCA, CRS,

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GDPR, MIFID and Risk Management regulations with a robust track record of accomplishment in:

- managing legal, compliance and operational risks teams within non-regulated and regulated financial institutions;
- developing Compliance monitoring framework and rolling it in all operating jurisdictions;
- conducting on-going AML/CFT assessments and investigations.

Articulate communication skills with the ability to communicate internally and externally with robust commercial and diplomatic acumen. Native French, proficient English and Swahili with intermediary level in Dutch.

Mr Aurelio DAMELIO

Conducting Officer in charge of Compliance - RC, MLRO at Harmonic Fund Services Luxembourg S.A.

Aurelio's experiences concentrate on professionals of the financial sector, AIFMs and AIF, PFS, Fund Accounting and Transfer Agency, Domiciliary Services, branch of European Credit Institutions established in Luxembourg.

Aurelio has 19+ years of experience as Chief Compliance Officer, Conducting Officer, MLRO and RC (Person responsible for the internal controls) for companies registered in Luxembourg under the supervision of the CSSF. Previously, he worked, since 2001 in the Banking retail sector and IT services in Italy, covering always internal control functions.

Aurelio graduated as Certified AML specialist – Florida USA, holds a Master in International Finance Audit and Bank Control (I.F.B.L. & PriceWaterhouseCoopers, Luxembourg) and a Post graduated Master Degree in Economics from the University of Calabria, (Italy).

**Language**

A good command of English is required

**Dates and Duration**

From Tuesday 3 to Friday 6 and from Tuesday 10 to Friday 13 May 2022 from 10.00 to 14.00 + 1 session dedicated to the exam on Monday May 16 from 10.00 to 14.00 Paris time

**8 X 4 hours (32 hours) + exam /16 May at 10.00 Paris time**  
(max 4 hours)

**Technical requirements**

In order to join the course participants are requested to have:

- a stable internet connection
- a device (preferably a PC) with well-functioning microphone and webcam (mandatory in order to be able to interact with the trainer and their peers).

**For the exam session, the webcam is mandatory**

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**Platform**

**Webex**

Attendees must have working microphones and a webcam is mandatory in order to get the most from the workshop.

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## INTERNATIONAL COMPLIANCE FOUNDATION LEVEL PROGRAMME

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Key items that will be addressed in this 8 half days programme:

### Compliance, Genesis & Key principles (Aurelio Damelio)

1. Introduction – Why Compliance?
2. What is Compliance?
3. International bodies promoting Compliance

### Compliance, function fundamentals (Aurelio Damelio)

1. Establishing a Compliance function
2. Key compliance responsibilities
3. Actors: roles and responsibilities
4. Compliance founding documents

### Financial Crime Framework (Lievin Tshikali)

1. Anti-Money Laundering (AML) Counter Terrorism Financing (CFT) overview
2. Tax evasion/Tax reporting overview – FATCA/ CRS
3. Predicate offence: Market abuse
4. International sanctions

### Investor protection: MiFID II Overview (Liévin Tshikali)

1. Introduction
2. MiFID II Client Services
3. MiFID II Governance & Supervision
4. Conclusion

### Data Protection (Aurelio Damelio)

1. Definitions
2. Main principles
3. Supervision by the Data Protection Authority (DPA)
4. GDPR & Directive

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5. Data Controller & Data Processor
6. Data governance key stakeholders
7. Data subject rights
8. International personal data transfers
9. Outsourcing in the financial sector
10. Data breach management
11. Sanctions
12. Enforcement actions
13. Practical cases

Important notes:

*Remark: By delivery date, any training documentation shall be subject to regular reviews and 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.

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