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## Certification Programme Compliance Foundation Level

### 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

Interactive seminar combining lectures, practical case studies and exchanges of views within the framework of international standards, benefiting from the Luxembourgish experience in this matter.

#### Assessment

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. Multiple choice assessment & open questions.

#### Target group

Compliance officers with or without experience, internal auditors, data protection officers 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.

#### Experts

High level Compliance experts with an in-depth understanding of all regulatory and organizational issues, member of the House of Training Quality Circle in Compliance.

#### Language

A good command of English is required.

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This training is provided with the support of the Government of Luxembourg





HOUSE OF  
TRAINING



**Participants**

**16 participants** from the House of Training partner countries

**Dates**

From 3 to 7 February 2020  
Arrival on Sunday 2 February and departure on Saturday 8  
February

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THE GOVERNMENT  
OF THE GRAND DUCHY OF LUXEMBOURG

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## Certification Programme: Compliance Foundation Level

### CONTENT

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#### DAY 1 : Compliance

- Introduction
- Programme and candidate presentations
- Fundamentals of Compliance and Introduction – Why Compliance? :
  - International bodies promoting Compliance
  - Establishing a Compliance function
  - Compliance risk based approach
  - Compliance function roles and responsibilities

#### DAY 2: Financial Crime

- Definitions
- Regulatory environment
- AML Risk Assessment
- Customer Due Diligence (CDD)
- Adequate Internal Organization
- Cooperation with the Authorities and case studies

#### DAY 3: Consumer Protection

- What is MiFID/IDD?
- Scope of MiFID
- MiFID Luxembourg implementation
- MiFID key obligations and case studies

#### DAY 4 : Market integrity and Data protection

Market Integrity:

- Introduction
- MAR & MAD II
- General trend
- Insider trading
- Market manipulation
- Suspicious Transaction Reporting
- Sanctions and case studies.

Data protection:

- Introduction
- Key definition

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- GDPR professional obligations
- Sanctions

**DAY 5: Written exam based on all covered topics during the Foundation course**

*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.

