

## CONDUCTING A COMPLIANCE AUDIT



**24<sup>th</sup> - 25<sup>th</sup> September 2019, Kuala Lumpur**

Good compliance is the bedrock of modern banking and markets and it is imperative that organisations and individuals involved in these businesses are constantly checking to ensure best practice. In recent years the sheer weight of regulations and the complexity of financial markets have made compliance ever more important.

Our market leading, 2-day course is packed with current examples of compliance failures and their consequences as well as how to audit a compliance department using 'best practice' rules.

**Taught by the leading trainers in this area your staff will learn:**

- Why compliance matters in the modern financial system
- The global regulatory bodies & compliance standards and how they are changing
- 'Best Practice' compliance and creating an audit matrix
- Qualitative & Quantitative issues in your audit
- Testing and identification of internal/external strengths/weaknesses

The course is case-study based and interactive, using recent examples of compliance breaches to allow delegates to work through issues and see the impact of poor compliance in real time.

# AGENDA

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## Day 1

### Session One: Compliance in the Financial Industry

- What do we mean by Compliance?
- Regulatory versus non-regulatory terms
- The 'four pillars of compliance'
- Looking at compliance breaches & consequences

By the end of this session, delegates will be able to state the importance of compliance and how regulators view compliance issues.

### Session Two: What makes an effective compliance program 1?

- Relationships with regulators
- Policies & procedures
- Forensic issues how to spot weaknesses in P&P
- Worked examples of where P&P fell short of best practice

By the end of this session, delegates will be able to identify the issues with P&P, in compliance terms and how they are only part of the compliance jigsaw.

### Session Three: What makes an effective compliance programme 2?

- Culture
- Auditing qualitative measures like culture
- Training & communication
- The difference between risk and revenue
- How can we identify and audit poor culture – the 'Culture Tree'

By the end of this session, delegates will be able to identify the major types of culture within financial institutions fraud as well as examine the effectiveness of cultural measures taken by regulators and senior management.

### Session Four: Monitoring

- Frequency of monitoring?
- Sources of data
- Prescriptive or risk-based monitoring?
- Identifying weaknesses in monitoring procedures
- The dangers of over-reliance on software
- Document retention

By the end of this session, delegates will be able to dissect the different of information used in compliance monitoring and examine where monitoring has been of prime importance in exposing compliance weaknesses

## Day 2

### Session One: Reporting

- The '5-Ws' of reporting
- Too much information?
- Effective whistleblowing
- Testing incentives and discipline
- Are 'red flags' effectively reported and acted upon?

By the end of this session, delegates will be able to identify the importance of effective reporting and whistleblowing procedures including whether there is the right balance between discipline and incentives.

### Session Two: Other Checks

- Employee checks inc. the Board
- Resource adequacy
- 'Secret shopper' vs surprise checks
- Security checking
- IT checks

By the end of this session, delegates will be able to chart the major checks that need to be done in an effective compliance audit as well as the outside agencies who might be able to help in this.

### Session Three: Identifying Compliance & Regulatory Weak Points

- Clients/customers/counterparties
- Products & services
- Technology
- Risk management & Internal Audit

By the end of this session, delegates will be able to state the major compliance vulnerabilities that need to be stress tested in an audit and examine solutions.

### Session Four: Creating a Template for a 'Best Practice' Compliance Audit

- During this session, delegates will use the knowledge and skills acquired throughout the day to create a template of 'best practice' for identifying & dealing with compliance issues and how these can be identified in an audit. To do this, they will work in groups but prepare their own action plan to take away.
- This session re-enforces the key points taught throughout the day and ensures that new skills are embedded for the future.

### Course review & summary

## SPEAKER

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**Mark Anderson**  
**MA [Cantab], AMICA,**  
**CMEA; CEO**  
*Cambridge Centre of  
Performance & Excellence*

Mark is an experienced trainer and consultant with global knowledge, having lived & worked in the UK, Russia, Qatar and India and trained in almost every country. Having started his career as a stockbroker in London, he worked for US, Dutch and UK banks as a Director in the Sales & Sales Trading departments. He then became a partner in a small investment bank where he was Head of Trading and oversaw the Compliance function. Mark has been Global Head of L&D at a Russian investment bank and at a major Middle Eastern Sovereign Wealth Fund as well as a World Cup Organising Committee. He also managed the training section of a major offshoring project to India, training over 1500 staff in settlement, custody and compliance. In recent years, Mark has been one of the highest rated trainers in Anti-Money Laundering & Financial Crime Compliance, training in over 60 different countries in the last 3 years, including a global AML project for one of the world's largest banks. He has trained staff in every area of banking and finance including [but not limited to] retail & corporate banking, investment banking, SME banking, private banking, asset management, hedge funds, SWFs and associated service providers. Comfortable at all levels, he has worked with main Board members to new graduate hires and induction programmes.

**Clients Mark has worked for and allowed to tell other clients about include:**

Qatar Investment Authority | Q2022 Supreme Committee | HSBC | XAC Bank | Credit Suisse | Barclays | Bank of China | Ashurst | Stapleford Asset Management | ABN Amro | Clearstream | Irish Times Training | Watson Farley & Williams | Carousel | BNP Paribas | Bank Inter | Renaissance Capital | RIM

# CONDUCTING A COMPLIANCE AUDIT

24<sup>th</sup> & 25<sup>th</sup> September 2019, Kuala Lumpur

## BOOKING DETAILS

I am booking:	Price per Delegate	Total Price	Early Bird (10% Discount)
<input type="checkbox"/> 1 delegate	RM3,999	<b>RM3,999</b>	RM3,599
<input type="checkbox"/> 2 delegates (5% Discount)	RM3,799	<b>RM7,598</b>	RM6,838
<input type="checkbox"/> 3 delegates (15% Discount)	RM3,399	<b>RM10,197</b>	RM9,178
<input type="checkbox"/> 4 delegates (20% Discount)	RM3,199	<b>RM12,797</b>	RM11,517
<input type="checkbox"/> 5 delegates (30% Discount)	RM2,799	<b>RM13,997</b>	RM12,597

\* Further attractive packages are available for groups of more than five. Please contact us directly.

**Online training option:** I would like to also enrol for the online course, **Shariah Risk & Governance Framework for Islamic Financial Institutions** for the special price of RM200 per user. Please tick here

### Available Discounts

**Early Bird:** Registrations received on or before 23<sup>rd</sup> August 2019, will receive a 10% discount. No discount shall be given to registrations received after this cut-off date.

**Discount for Active Subscribers of Islamic Finance news:** If the delegate is a current IFN subscriber, he/she shall receive a flat 10% discount from the normal fee. Please tick here

**Loyalty Program:** 25% discount on other seminars attended within a 6-month period and non-transferrable. Please tick here

## DELEGATE DETAILS

Name	Job Title	Email address	Telephone
1 _____	/ _____	/ _____	/ _____
2 _____	/ _____	/ _____	/ _____
3 _____	/ _____	/ _____	/ _____
4 _____	/ _____	/ _____	/ _____
5 _____	/ _____	/ _____	/ _____

## WHO TO INVOICE AND CONTACT?

Please tell us who we should invoice. It is also helpful for us to have the name of an administrator with whom we can liaise directly.

Contact person for invoicing: \_\_\_\_\_ Job Title: \_\_\_\_\_  
Email: \_\_\_\_\_ Tel: \_\_\_\_\_ Fax: \_\_\_\_\_  
Billing Address: \_\_\_\_\_ Original Invoice for Courier: YES  / NO   
Contact person to send administration details: \_\_\_\_\_  
Job Title: \_\_\_\_\_ Email: \_\_\_\_\_ Tel: \_\_\_\_\_

Payment can be made by cheque or bank transfer. A notification will be sent to you once payment has been received.

I wish to pay by: Cheque/bankers draft  Telegraphic transfer  Credit Card

## APPROVING MANAGER

To process your registration we require the name and signature of a manager who is authorized by your organization to approve training expenditure.

Name: \_\_\_\_\_ Job Title: \_\_\_\_\_  
Organization name: \_\_\_\_\_ Email: \_\_\_\_\_ Tel: \_\_\_\_\_

Authorizing signature \_\_\_\_\_ (mandatory)

Yes, I have read and understood the booking and cancellation policy below.

## SEND US YOUR REGISTRATION!

By email: [seminars@redmoneygroup.com](mailto:seminars@redmoneygroup.com) By fax: +603 2162 7810

You may also book online at <http://www.REDMoneyevents.com>

Please call us on: +603 2162 7800 or +603 2162 7802 if you require assistance.

Our address is: REDmoney, Suite 22-06, 22<sup>nd</sup> Floor, Menara Tan & Tan, 207, Jalan Tun Razak, 50400 Kuala Lumpur

### Booking, Payment and Cancellation Policy – important, please read carefully

By completing, signing and sending us this registration form you are confirming delegate places on the seminar. You are also confirming your understanding of our Booking, Payment and Cancellation Policy.

**Cancellation:** If delegates cannot attend the seminar replacement participants are always welcome. Otherwise delegates must request in writing (letter, fax or email) to cancel registration/s or transfer to a different seminar at least 21 days before the seminar start date to be eligible for a refund, less a 5% administration fee. Delegates who cancel within 21 days of the seminar start date, or who do not attend, are liable to pay the full seminar fee and no refunds will be given. Instead fees will be converted to a IFN Seminars voucher equivalent to the original fee, less a 15% administration charge. This voucher is transferable within your organization and must be redeemed within one year of issue or become void. If a seminar is postponed for whatever reason delegate bookings will be automatically transferred to the new seminar date. Delegates who wish to transfer to a different seminar will be subject to the same terms as above and charged the difference in seminar fees. No refunds or seminar vouchers will be issued for a no-show.

**Payment Terms:** All seminars fees are to be received within 14 days of invoice date. REDmoney shall receive the full seminar fee with no deductions of any description. All telegraphic transfer fees, taxes and levies (domestic or otherwise) shall be borne by the sponsoring organization.

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Seminar Venue: Full details of the venue will be sent to you upon registration.

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