Finance & Business Acumen · FB38

Compliance Regulatory Professionals

Madrid · 7 - 11 Dec 2026

Date	Venue	Duration
7 - 11 Dec 2026	**Madrid**	**1 Week**
Fee	Ref	Language
£5,000 GBP	**FB38**	**English**

Introduction

This training program is designed to provide the knowledge and skills required to understand and support regulatory compliance and enterprise-wide risk management. In addition, to promote the best preparations and international standards that align with business and regulatory obligations, it is necessary to understand how to deal with commands, markets, products, and transactions.

This is a rigorous and highly functional training program that will prepare you to become a compliance expert.

It teaches the fundamental skills required to build the right relationships with your regulators and board of directors, as well as to deal with yourself at all levels of your organization.

This training course also covers several regulatory body topics for all firms in order to establish and maintain effective systems and controls, promote an efficient compliance monitoring program, and create a risk-based Customer Due Diligence (CDD) process. It provides you with the best methods for achieving your goals in an efficient and responsible manner while adhering to all applicable laws and commands.

In addition to providing excellent tools to protect your company from compliance risk, we can also assist you with professional models and internal policies in corporate governance and risk management.

Course Objectives of Compliance Regulatory Professionals

By the end of this training program, you will be capable to:

- Explain the objectives & roles of regulation
- Recognize the abilities of compliance
- Develop a good knowledge of compliance principles
- Describe the concept of Compliance and the resolutions being made to control the risk linked to it

- Have the skills wanted to approach compliance and its related functions with confidence
- Recognize and explain compliance risks, and the consequences of noncompliance, to mitigate effectively the risk of compliance breaches
- Promote an appropriate Compliance Manual
- Build a compliance culture
- Defend the organization’s reputation
- The relationship between Compliance and Corporate Governance
- Improve compliance programs to attack money laundering practices, and to utilize Corporate Governance rules
- Promote best plans to help managers and prevent risk within your firm

Course Methodology of Compliance Regulatory Professionals

Trainees in this training course will get a summary of the best practices in regulatory compliance.

The training methodology covers case studies, group live preparation, presentation, and analysis of worked illustrations, play roles, group discussions, and interactive participation is inspired.

Organizational Impact of Compliance Regulatory Professionals

This training program is of direct relevance to Certified Compliance Professionals (CCP) and as a result, the organizations will serve greatly from their employee’s cooperation.

The organization will increase from:

- More efficient support for the compliance organization
- Choosing a format and content for a compliance program that is suitable for your business
- Recognizing and analyzing applicable regulatory requirements and risks in business semantics
- Classifying causal factors that may manage to non-compliance to address these in the compliance program
- Greater significance and reliability of investigating the regulatory organizations
- More strategic thinking and locus on performance
- The more efficient utility of promoting a successful compliance program
- Preparation of staff for risen dependability

Personal Impact of Compliance Regulatory Professionals

This training program will be of personal advantage to participants by giving you with:

- Knowing the complete regulatory environment
- Understand your regulator
- Compliance with training
- The function of the compliance
- Managing regulatory risk for the advantage of your firm
- Recognizing the value of governance, risk, and compliance
- Ethics, integrity, and organizational risk culture
- Achieving the risk of financial scandal

Target Audience of Compliance Regulatory Professionals

This training program is planned to achieve awareness and skills, providing

details of the latest policies and methods to:

- Compliance Officers / Managers and their Deputies
- Managers with responsibility for internal compliance controls
- Legal, Audit, Risk, Operations, and IT Specialists
- Risk Managers
- Staff working in risk roles
- Internal & External Audit Staff
- Regulatory Representatives
- AML Officers
- Accountants
- Lawyers
- All Staff working in or aiming to work in the compliance sector

Course Outline of Compliance Regulatory Professionals

DAY 1

The Regulatory Environment and the Role of Regulators

- An Overview of the Regulatory Environment
- The Objectives of Financial Services Regulation
- International Regulation
- The Role of the Regulators
- What do the Regulators expect?
- Your Jurisdiction Environment
- The Best Practice in Regulatory Obligation
- ISO 19600: Compliance Management Systems

DAY 2

The Compliance Functions

- Compliance Structure
- The Role of the Board of Directors, the Supervisors, the Internal and External Auditors
- Responsibilities of the Compliance Officer
- Key Compliance Activities and Processes
- Compliance and Corporate Governance
- Corporate Governance and Financial Crime Prevention
- Compliance Training
- Conflicts of Interest
- Ongoing Compliance with Laws and Regulations

DAY 3

Risk Management and Compliance Risk

- Understanding a Risk Management Approach
- Creating a Risk Management Approach
- The Definition of Governance, Risk, and Compliance
- The Need for Internal Controls
- Identify, Mitigate and Control Risks Effectively
- Approaches to Risk Assessment

- The Importance of Compliance Culture
- Managing Key Relationships – external and internal

DAY 4

Establishing an Effective Compliance Function

- Factors to be Considered in Designing a Compliance System
- Developing an Internal Compliance System
- Implementing and Communicating Internal Compliance Arrangement
- Compliance Manual
- Establishing Policies and Procedures
- Creating a Compliance Monitoring Program
- The Need for Independence
- Record-Keeping ƒ Compliance Reports
- Managing the Regulators and Change in Regulations

DAY 5

Managing the Risk of Money Laundering and Financial Crimes

- Understanding Money Laundering Offences
- MLRO and Compliance Officer
- The Risk-based Approach to Money Laundering / Terrorist Financing
- Suspicious Activity Monitoring, Detection, and Reporting
- Preventing Fraud
- Bribery and Corruption
- Insider Trading
- Market Abuse
- Sanctions and their Role in the Global Economy

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