



COMPLIANCE REGULATORY PROFESSIONALS

Perform Better by Protecting the Firm from
Compliance Risk

FEES: Local Fees: K10,000

International Fees: \$600

**AN INTENSIVE 5-DAY TRAINING
COURSE**

22 - 26
JULY 24

VENUE

ZAMBEZI JUNCTION
LODGE, LIVINGSTONE

REGISTER NOW!

Regulatory and Compliance

COURSE INTRODUCTION

This **Vision Africa Events Compliance Regulatory Professionals training course** is designed to provide with the knowledge and skills needed to understand and support regulatory compliance and enterprise wide risk management. Also, to know how to deal with the rules, the markets, products and transactions, to promote best practices and international standards that align with business and regulatory requirements.

This is an intensive and highly practical training program qualifying you to become proficient in compliance. It provides the necessary skills to build right relation with your regulators, your board of directors and to deal with individuals at all levels of your organization.

This training course also covers several topics regarding the regulatory bodies for all firms to establish and maintain effective systems and controls, to develop effective compliance monitoring program and to build a risk-based Customer Due Diligence (CDD) process. It provides you with the best techniques to manage effectively and responsibly in compliance with all applicable laws and regulations. As well the advanced tools to protect your business from compliance risk and supports you with professional standards and internal policies in corporate governance and risk management.



OBJECTIVES

By the conclusion of the Compliance Regulatory Professionals training course, participants will achieve the following objectives:

- Comprehend the objectives and roles of regulations
- Understand compliance responsibilities
- Gain a thorough understanding of compliance principles
- Grasp the concept of compliance and risk management efforts
- Acquire the skills to approach compliance confidently
- Recognize and address compliance risks, and the repercussions of noncompliance
- Establish a suitable Compliance Manual
- Foster a compliance-focused organizational culture
- Safeguard the organization's reputation
- Explore the link between Compliance and Corporate Governance
- Design compliance programs to combat money laundering and enforce Corporate Governance regulations
- Develop effective strategies to assist managers in risk prevention within the organization.



RULES REQUIREMENT LAW COMPLIANCE

Training Methodology

Participants to this training course will receive an overview of the best practices in regulatory compliance. The training methodology includes case studies, group live instruction, presentation and discussion of worked examples, play roles, group discussion and interactive participation is encouraged.

ORGANIZATIONAL IMPACT

This Compliance Regulatory Professionals training course directly benefits Certified Compliance Professionals (CCPs), leading to significant advantages for organizations. By participating, employees contribute to:

- Enhanced support for the compliance team
- Tailoring a compliant program format and content suitable for your business
- Recognizing and evaluating relevant regulatory requirements and business risks
- Identifying root causes of potential non-compliance to address them in the compliance strategy
- Improved analysis of regulatory bodies with increased relevance and reliability
- Encouraging strategic thinking and performance focus
- Enhanced development of successful compliance programs
- Preparing staff for higher levels of responsibility

PERSONAL IMPACT

Attending the Compliance Regulatory Professionals training course will personally benefit delegates by offering:

- Comprehensive understanding of the regulatory environment
- Insights into knowing your regulator
- Practical compliance strategies
- Clarification on the compliance function's role
- Risk management for your firm's advantage
- Appreciation of governance, risk, and compliance importance
- Emphasis on ethics, integrity, and organizational risk culture
- Techniques for managing financial crime risk

WHO SHOULD ATTEND ?

This Compliance Regulatory Professionals training course is tailored for individuals who hold the following roles or have an interest in compliance:

- Compliance Officers/Managers and their Deputies
- Managers overseeing internal compliance controls
- Legal, Audit, Risk, Operations, and IT Specialists
- Risk Managers
- Employees in risk-related roles
- Internal & External Audit Staff
- Regulatory Representatives
- AML Officers
- Accountants
- Lawyers
- All Staff currently working in or interested in pursuing a career in compliance.

A magnifying glass with a silver handle is positioned over the word 'COMPLIANCE' in a large, blue, serif font. The background is a solid blue color.

COMPLIANCE

COURSE OUTLINE

Day 1 of the program will focus on the Regulatory Environment and the Role of Regulators. Key topics to be covered include:

- Overview of the Regulatory Environment
- Objectives of Financial Services Regulation
- International Regulation
- Role of Regulators
- Regulatory Expectations
- Jurisdictional Environment
- Best Practices in Regulatory Compliance
- ISO 19600: Compliance Management Systems

Day 2: The Compliance Functions

- Compliance Structure
- The Role of the Board of Directors, Supervisors, 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

- Comprehending a Risk Management Approach
- Developing a Risk Management Approach
- Defining Governance, Risk, and Compliance
- Significance of Internal Controls
- Efficient Identification, Mitigation, and Control of Risks
- Various Approaches to Risk Assessment
- Significance of a Culture of Compliance
- Effective Management of Key Relationships, both internal and external

Day 4: Establishing an Effective Compliance Function

- Factors to Consider in Designing a Compliance System
- Developing an Internal Compliance System
- Implementing and Communicating Internal Compliance Arrangements
- Compliance Manual
- Establishing Policies and Procedures
- Creating a Compliance Monitoring Program
- Emphasizing the Importance of Independence
- Record Keeping and Compliance Reports
- Managing Regulatory Relationships and Adapting to Regulatory Changes

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

CERTIFICATE

Delegates who successfully finish the training course will receive a Vision Africa Events Certificate.



BOOKING FORM

US\$ 600.00

PER DELEGATE EXCLUDING VAT,

***To attend this event, payment has to be made before the 12TH JULY, 2024**

For discounts on group bookings, please email us at info@visionafricaevents.com or call K.Lembela
(training@visionafricaevents.com) at +260 978 758 724

CONTACT INFORMATION OF AUTHORIZED SIGNATORY

(Signatory must be authorized to sign on behalf of the company)

Company:

Address:

Contact Person:

Designation: Date:

Tel:

Cell:

Fax:

Email:

Company VAT #:

Authorized Signatory:

DELEGATE LIST

Delegate 1:

Position:

email:

Delegate 2:

Position:

email:

Delegate 3:

Position:

email:

Delegate 4:

Position:

email:

Delegate 5:

Position:

email:

TERMS & CONDITIONS:

(The following terms and conditions will apply)

- Payment is required in full 5 days from date of invoice
- All payments to made directly to Vision Africa Events
- No seats will be reserved, unless Vision Africa Events receives a signed registration form
- Vision Africa Events reserves the right to change speakers, programme content, date & venue due to circumstance beyond our control.
- The signed booking/registration form is a legally binding contract.

Cancellations

All cancellations will be subject to approval by the management of Vision Africa Events. All cancellations made 21 days prior to the date of the booked event will be subject to a 75% cancellations fee. Cancellations made 21 days before the booked event will be subject to 100% cancellation fee. There will be no refunds on Credit Card payments.

PAYMENT METHODS



Bank Transfer:

Atlas Mara Bank Limited, Zambia
Plaza, church road, Lusaka
Swift code: FMBZZMLX, Sort Code: 20044
Branch code: 301
ZMK ACCOUNT: 3015882912011
DOLLAR ACCOUNT: 3015882912922

Cheques: Made payable to Vision Africa Events

**Credit Card: Please fill in your credit Card details below
(Please note that ONLY VISA & MASTERCARD ARE ACCEPTABLE)**

Credit card Holder's Name:

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Expiry date: 20

Credit Card #:

CVC #:

Card Holder Signature :

SUBSTITUTIONS

- Delegates must inform Vision Africa Events in writing of any substitutions
- Vision Africa Events will NOT charge for substitutions
- Vision Africa Events will NOT be held liable for incorrect Delegate details on Certificates, etc. in the event of substitutions being made on the day of the event or conference.
- In the event of Vision Africa Events having to cancel or postpone an event due to circumstance beyond our control, delegates will be issued with a credit voucher, which may be redeemed for future events or conferences.

Vision Africa Events will not be held liable for travel and accommodation costs outside the conference dates. The event fees include: Seminar / Conference Materials, Lunch, refreshments, but excludes travel & accommodation. Call the events team for help with recommended hotels for the event.