

International Compliance Officer Certificate

CCL have developed this programme to meet the needs of today's Compliance Officer.

This certificate has been endorsed by the Chartered Institute for Securities & Investment (CISI) and provides attendees with the practical skills and knowledge required to carry out the Compliance function in-line with international best practice. The Certificate has been designed by Compliance Officers and former Regulators who between them have over 30 years of compliance experience.

The programme uses a variety of teaching methods, including workshops, case studies, illustrative examples and participant interaction to help attendees quickly grasp and internalise new knowledge.

Course Highlights

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- Workshop style training course
- CISI Endorsed
- Interactive learning environment
- Real-life examples used
- Constitutes 12 hours of learning for the CISI CPD scheme

Who should attend?

The certificate programme is ideal for all participants who seek understanding of the growing significance of regulation and the need for compliance, including:

- Compliance professionals
 - Regulators
 - Legal, Audit, Risk, operations and IT specialists
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Syllabus

The Business & Compliance

- Board and Senior Management buy-in
- Corporate Governance
- Ethics
- Policies and Paperwork for sign-off
- Establishing Terms of Reference for Compliance
- Compliance Structure and Culture
- Management of Regulatory Risk
- The Regulatory expectations of Senior Management
- The Compliance Manual
- Registers, forms and staff declarations
- Communication with customers (e.g. Financial Promotions)
- Training & Competence

The Role of the Compliance Officer

- The Roles & Responsibilities
- The Compliance Function
- Principal Tasks of the Compliance Officer
- Key Skill requirements
- The Scope of the Compliance Officers Job
- Relationships with Management and other Stakeholders
- Establishing a Compliance Culture
- Regulatory risk and compliance monitoring
- Preparing and managing Compliance reviews
- Drafting Compliance
- Relationship with Internal Audit
- Anti Money Laundering

Senior Management Responsibilities & Risk Management

- Senior Management responsibility & reporting to the Board
- Identifying and Assessing Risk
- Types of Risk
- The Interrelationship between Risks
- The Mitigation and Management of Risk
- Operational Risk
- Risk Assessments for Capital Requirements

Market Manipulation

- Market manipulation and misleading statements
- Insider Dealing and Market Abuse
- Employee's Personal Account Dealing

The Wider Roles of Compliance & Compliance Trends

- Appropriate Management and Internal Enforcement Processes
- Criteria for Communication with regulators
- Evidential Requirements
- Avoiding Disaster by identifying and managing risks
- Handling Regulatory Investigations
- Breaches of Client Confidentiality
- Negating problems in the Future
- Principals and Risk Based Regulation
- Senior Management Responsibility
- Management of Conflicts of Interest
- Treating Customers Fairly

▸ Delivery Methods [available methods depend on the course]

Public Course

If you only have a few staff who require a particular training course then why not send them on one of our public courses. We insist on limiting the number of attendees on our public courses to facilitate an interactive training environment. This ensures that there's always a chance to put your questions to a genuine expert, as well as to share experiences with other delegates.

Take a look at our [Future Dates/Booking](#)

Bring In-House

If you have a number of people who require the training, you might find it more economical to have the training at your offices. Our trainers are armed with all the equipment and materials necessary. All you need to do is supply the room, and after the course, we'll send your certificates of attendance in the post.

In addition in-house courses can be tailored to meet the precise needs of your business. This could mean tailoring a course for a business unit; combining elements of different courses to match your exact specification; or producing a course from scratch.

Enquiries

Please complete [the following form](#) and we'll get in touch to discuss your requirements in detail.

Off-site Training

Our training facilities can also be used for company 'off-site training'. So if you want to have an 'in-house style' training session away from your own offices, or you simply don't have the facilities, then you can use ours.

Enquiries

Please complete [the following form](#) and we'll get in touch to discuss your requirements in detail.

▾ Trainers

Clare Curtis

Clare's specialisation is training individuals on the various roles and responsibilities of the key regulated functions in a financial services firm - such as the role of the Compliance Officer and Money Laundering Reporting Officer.

Clare has been in the Financial Services industry since 1996. She has held the role of registered Compliance Officer, MLRO and Data Protection Officer for firms in the investment banking and private equity sectors as well as being employed by the London Stock Exchange ("LSE") monitoring the market for abuses and assisting member firms with ongoing Compliance with LSE rules.

During 2006 and 2007 Clare worked for the Dubai Mercantile Exchange ("DME") as Director of Membership Surveillance and was instrumental in setting up the DME's membership department including advising potential members on applications and Dubai regulations as well as helping to establish the DME's surveillance procedures. Clare joined CCL's Dubai office in October 2007.

Clare is a Member of the Chartered Institute for Securities & Investment (CISI) and holds a LLB Hons Law degree from Kings College London.

Christopher Hobbs

Christopher Hobbs has held senior compliance and anti-money laundering positions in a number of US and European financial services institutions including Lehman Brothers, Smith Barney, ING Barings and Danske Bank.

With an accountancy background and more than 20 years' experience in investment banking, securities, derivatives, corporate banking and asset management, Christopher has an excellent understanding of the issues facing financial services firms and provides expert technical advice and effective implementation strategies across a broad range of regulatory compliance issues. He has engaged closely, and enjoys an excellent reputation, with regulators, exchanges and law enforcement agencies.

Nigel Pasea

Nigel Pasea brings to the firm over 30 years experience as an advisor, regulator and practitioner specialising in compliance and corporate governance in the financial services industry.

Nigel joined CCL from UBS where he was the Chief Operating Officer of the MENA region since 2006 and responsible, inter alia, for the setting up of the firm's offices in Dubai, Saudi Arabia and Qatar and the development of the firm's compliance and control infrastructure. Prior to moving to Dubai, Nigel was the Head of Compliance for UBS Investment Bank in Switzerland and Deputy Head of Compliance for the EMEA

Region. Prior to UBS Nigel was the European Head of Compliance at Bear Stearns International and the Global Head of Compliance and COO of General Re Financial Products.

In addition Nigel worked for 6 years at the UK regulator, the Securities and Investments Board (now the Financial Services Authority) as Head of the regulator's Authorisation and Compliance Department. Nigel started his career at Deloitte and Touche where he spent 8 years, qualifying as a Chartered Accountant in 1982.

Nigel's experience covers investment banking and capital markets, wealth management and asset management. The nature of his previous roles has meant that he has worked in all major financial centres across Europe, Asia and the Middle East.

Nigel graduated from the London School of Economics in 1979, was awarded an MBA with Distinction from the London Business School in 1993 and is a Fellow of the Institute of Chartered Accountants in England and Wales.

Barry O'Brien

Barry graduated with an MSc from University College Cork and began his career teaching for 3yrs before moving into Lecturing. Barry has been working in financial services since 2005 with AIB Group and held various roles prior to specialising in Compliance Strategy. His role involved working with the Central Bank and Regulator in critically reviewing and agreeing numerous regulation consultation papers. He has managed various AML and Conduct of Business training programs within the banks retail branch network, while also designing and delivering quarterly compliance training to the banks senior executives. In addition Barry is a Qualified Financial Adviser (QFA) and a member of the Institute of Bankers. Barry has joined the CCL Academy as a trainer for the AML and Compliance training programs, while also provide ongoing support to the consultancy division.
