

Compliance in banking

We believe in learning by doing. That's why our modules are centred around interactive and informative simulations, practical activities and insightful case studies to really engage with participants and maximise learning. This way, your people leave with skills and insights they can apply immediately.

Foundation in compliance

This module will help delegates to appreciate the global regulatory environment and its impact on global business. Delegates explore the major regulations which apply to all banks globally and better understand the regional differences in regulation and the key differences in such regulatory approaches. They also come away with a better understanding of FATCA, FCPA and the UKBA.

Derivatives

Introduction: This introductory module is designed for staff new to regulation, compliance and financial crime divisions that are starting to cover the derivative products and markets. They will learn about the key features of the products, the jargon used in the markets and which products are appropriate to meet different clients' objectives.

Intermediate: This module takes a closer look at how clients are using derivatives to meet their investment objectives, whether they are taking market views, hedging or using derivatives to generate income. Participants will enhance their understanding of which types of trades clients will book and how the bank is meeting their needs.

Equities and credit

Introduction: This introductory module is designed for staff new to regulation, compliance and financial crime divisions that are starting to cover the equities and credit markets. They will learn about the key features of the products, the jargon used in the markets and how a modern stock exchange works.

Intermediate: During this intermediate level session participants explore the drivers of equity and credit performance. We discuss how clients make their investment decisions by analysing a company, its strategy, financial performance and financial strength.

Fixed income, FX & commodities

Introduction: This introductory module is designed for staff new to regulation, compliance and financial crime divisions that are starting to cover the fixed income, FX and commodity products and markets. They will learn about the key features of the products, the jargon used in the markets and which products are appropriate to meet different clients' investment objectives.

Intermediate: This module is for participants who need to understand, in more detail, how fixed income securities are priced correctly and how those prices are quoted in the market.

Lessons learned case study series

Insider dealing: Based around a SAC Capital case study, participants review interviews with key players in the failure. Supplemented by media reports, teams are tasked with reviewing why and how the compliance framework failed at SAC. The final output required from the teams highlights the surveillance issues and key advisory issues institutions with market access should adopt to prevent failures of this type.

Information walls: This session reviews some of the most significant failures in information barriers and compares them to identify common traits and unique differences. It also reviews the purpose of the regulatory frameworks that were initiated consequently to these failures. At the end of the session, participants identify the key issues highlighted in surveillance and control issues in the cases.

Market manipulation: Based around the London Whale case study, participants work in teams to forensically examine a number of exhibits to determine the issues that contributed to the numerous banking failures. By the end of the session, each group will have created a review panel type summary of the control failings that occurred within the CIO, assessed the risk management issues, and the human issues that contributed to the banking failure.