

COMSURE "IN-COMPANY" TRAINING OVERVIEW & MENU



WHY CHOOSE COMSURE "IN-COMPANY" TRAINING SERVICES?

You have a training and development requirement in the areas of Regulation, Compliance, Anti-money laundering & regulatory risk management.

You and your organisation are looking for a training provider who will partner you in working towards your training and development objectives whilst truly valuing your business.

You believe that a company which has a real passion for training and developing people will deliver superb client focused solutions.

You want to work with a provider who will design a course to specifically match the precise developmental needs of your company's participants.

You find it beneficial to work with a company who assign Training Consultants to your business who has first hand knowledge and application in all aspects of training and development.

You acknowledge that for the learning to be maximised the training needs to be delivered by a credible and knowledgeable Trainer who has the ability to inspire and motivate the participants.

BENEFITS OF IN-HOUSE TRAINING

Amazing Value For Money – **COMSURE** In-Company training is an extremely cost-effective method of developing staff. A team of employees can be trained on-site from as little as the cost of several delegates attending public courses.

LOCATION, LOCATION, LOCATION - YOU CHOOSE

The flexibility of **COMSURE's** In-Company training allows you to choose the perfect time at the most appropriate location. Whether in-house, on your premises, or at a venue remote from the workplace - we deliver anywhere at any time, ensuring that your training takes place in the most appropriate learning environment for you and your organisation.

COMSURE

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BENEFITS OF EMPLOYING COMSURE

- Maximum of 15 to 20 delegates. We do not do management training seminars. Our small group environment provides maximum participation for your employees.
- Interactive and participative learning delivered with impact - the seminars are not lectures. All participants are encouraged to participate and apply their knowledge as well as what they are learning.
- Accelerated learning that reveals all you need to know in one activity packed training day.
- Skilled facilitators who are proven in their field backed with 'real world' and 'hands on' experience. Our trainers come from varied industry sectors, and have a wealth of expertise across diverse subject areas.
- Best-practice models and methodologies that will deliver real value in the workplace.
- Use of case studies to develop discussion.

COMSURE "IN-COMPANY" TRAINING

Your organisation's training needs are unique. With this in mind **COMSURE** Training is able to deliver a range of training courses all of which can be tailored to your requirements. Courses can range from 2 hours to full day(s) workshops and can be delivered at a time to suit your business demands.

COMSURE provide a blended learning experience with dynamic and interactive class room tuition supported by case studies, group exercises, simulations and group discussions.

Every training course is supported by printed literature and the highest quality administration.

ALL COMSURE "IN-COMPANY" TRAINING IS:-

1. Case study based
2. Non legalistic
3. Highly practical
4. Group Exercises
5. Use of Multi Media and Video

THE COMSURE "IN-COMPANY" TRAINING MENU REGULATION, COMPLIANCE, ANTI-MONEY LAUNDERING & REGULATORY RISK MANAGEMENT

The **COMSURE** "in-company" training menu provides examples of the type of subject matter that can be delivered. Please choose a particular subject or consider designing your own sessions by way of mixing and matching.

MIX & MATCH - Within the identified subjects listed in the **COMSURE** training menu you may be only interested in particular subject matters and topics within several designated subjects. If this is the case **COMSURE** can mix and match these matters or design a **BESPOKE** workshop for you and your organisation.

BESPOKE AND TAILORED

1. You decide the programme and topic.
2. Choose from any of the topics or.
3. Identify other critical issues that you would like covered.

CEO BRIEFING

1. Managing your Reputation.
2. Managing the regulator.
3. Identifying and addressing human factor issues & understanding the importance of human error in procedures driven environments.
4. Steep authority gradients, Reliance vacuums & Dominant individuals.
5. Developing an effective compliance & control culture.
6. Concepts in CG and how these help manage risk & creating an effective board for a regulated financial services firm.
7. Differentiating the roles of the executive and non executive director.

COMPLIANCE OFFICER BRIEFING

1. Reviewing local developments and analyzing the impact upon the business.
2. Identifying international issues – will they impact directly or indirectly on your jurisdiction?
3. Assessing the compliance risk management process.
4. Breaking down the barriers that stop the compliance message.
5. Understanding the difficult balancing act of wanting compliance control, yet needing a compliance culture.
6. Identifying gaps in your compliance risk management.

ANTI MONEY LAUNDERING OFFICER BRIEFING

1. What are the money laundering offences?
2. Challenging current money laundering myths.
3. Understanding the money laundering vulnerabilities of financial services businesses by considering how the following entities help facilitate a money launderer's objectives.
4. Managing concern and crystallising suspicion.
5. What do you do if you are suspicious?
6. Recognising and handling suspicious transaction reports.
7. Evaluating your individual legal obligations.
8. How to achieve effective KYC in practice and common barriers and pitfalls.
9. The risk based approach.
10. Human factors, in money laundering risk management.

COMPLIANCE AND CORPORATE GOVERNANCE

1. Concepts in CG and how these help manage risk.
2. Whistle blowing.
3. Role of the director in a regulated business.
4. Creating an effective board to meet your regulatory obligations.
5. Differentiating the roles of the executive and non executive director.
6. Creating and effectively utilising CG committees e.g. Audit & Risk.
7. Financial reporting and CG.
8. Utilising best practice in implementing effective risk management.

UNDERSTANDING THE INTER-RELATIONSHIP BETWEEN EFFECTIVE CORPORATE GOVERNANCE AND EFFECTIVE AML PREVENTION.

1. Analysing the human factors in procedures driven environments.
2. Achieving greater dialogue between line staff and the MLRO/MLCO.
3. Assessing the MLRO/MLCO functions.
4. STR practical issues.
5. Identifying the root causes of AML inadequacies.
6. Review of recent legal cases.
7. Update on the position with the new AML Handbook.

DESIGNING AND IMPLEMENTING AN EFFECTIVE COMPLIANCE & AML FRAMEWORK INCLUDING A MONITORING PROGRAMME

1. Considering legal and regulatory rules.
2. Identifying risks.
3. Designing your processes, controls and procedures.
4. Generating management information.
5. Creating an effective compliance culture.
6. Implementing, testing, validating and Monitoring.

IDENTIFYING AND EVALUATING KEY PERSON (CONTROLLER) RISKS

1. Avoiding expectation gaps.
2. Analysing the role of the Compliance Officer, the MLRO, the MLCO (control person / functions).
3. Analysing the role of the Internal Audit and the Board.
4. What makes an effective control person / functions?
5. Accountability of the control person / functions.
6. Interdependences with other control functions.
7. Primary, secondary and on demand compliance activities.
8. Local and international update.

FACTORS IN RISK MANAGEMENT

1. Understanding the importance of human error in procedures driven environments.
2. Common human factor problems.
3. Steep authority gradients & Reliance vacuums.
4. Identifying and addressing human factor issues.
5. Developing an effective compliance culture.

PREPARING FOR AND MANAGING A COMMISSION VISIT

1. Disclosure of documentation - pre-visit.
2. Types of visit and what to expect.
3. Preparing staff and management.
4. Common pitfalls and how to avoid them.

MANAGING YOUR REGULATORY RELATIONSHIPS

1. Understanding the regulators need.
2. Understanding their approach to regulation.
3. Communication with the regulator.
4. Managing regulatory issues.

Contact us for a free consultation
www.comsuregroup.com

HANDLING ENFORCEMENT ACTION

1. Managing the risk of document destruction and creation.
2. Responding to production orders.
3. Avoiding fishing expeditions.
4. Legal professional privilege - scope and limits.
5. Managing an internal investigation.
6. Issues arising during an inspection process.
7. Responding to asset seizure attempts.
8. The likely impact of civil confiscation provisions.

MANAGING THE RISK OF FUNDING TERROR

1. What are the risks.
2. Local anti terror legislation.
3. Understanding the threat.
4. NCOs and charities.
5. Use of cash couriers.
6. Underground banking.
7. Case studies.

ABUSE OF TRUSTS AND COMPANIES

1. Offshore companies and corporate services analysed.
2. Offshore trusts and trustee services analysed.
3. The criticality of fiduciary duty.
4. Understanding commercial rationale.
5. AML trust and company vulnerabilities.
6. Examples of abuse.
7. Case studies.

CRIMINAL ABUSE OF BANKING SERVICES, STRUCTURED PRODUCTS AND SPVS

1. Vulnerabilities of Private Banking, SPVs, collective investment funds & Correspondent accounts.
2. The importance of understanding the bigger picture.
3. The threat from arrangements and arrangers.

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