

COMPLIANCE CERTIFICATION PROGRAMME

Advanced Level

Seminar financed by the Luxembourg Ministry of Finance for 15 participants from the House of Training - ATF partner countries

Luxembourg, 17 – 21 September 2018

FINAL PROGRAMME

Saturday, September 15

During the day Arrival of participants & transfer from the airport to the hotel D'Coque
20.00 Dinner in the hotel restaurant La Perla (table reserved for the group)

Sunday, September 16

10.00 – 13.00 Walking visit of Luxembourg City (the city guide will wait for you in the D'coque hotel lobby next to the reception)

From 17 to 21 September - General Information

The seminar and the exams will take place in a training room located at the Training Centre of the Chamber of Commerce located on 7, rue Alcide de Gasperi, Luxembourg-Kirchberg.

Lunch is offered to participants at the restaurant of the Chamber of Commerce.

Lunch break lasts one hour and will be taken between 12.00 and 13.00 according to the programme.

There are two **coffee breaks** per day, around 10.00 and 15.00.

All evenings are free.

Monday, September 17

8.45 Meeting with a member of the House of Training staff at the reception of the hotel to walk with the group to the Chamber of Commerce.

9.00 – 9.15 Welcome Address & Practical information

9.15 – 11.30 **Session 1 - Program Introduction**

Content

Presentation of the objectives and the organization

Overview of the main points covered on the compliance fundamentals and implementation of the regulatory framework

Introduction to the case study

Team building

Programme organised in collaboration with and validated by

13.00-17.00 – Session 2 - How to design a compliance program on a risk based approach

Content

Introduction to Risk assessment models – International standards

What is a compliance program? Key deliverables

Tuesday, September 18

9.00 – 12.00 – Session 3 - Focus on a tailored-made Compliance risk assessment (Part 1 –Methodology & design)

Content

Definition of a methodology, and the design of the tailored compliance risk assessment on the basis of the case study

Team work

13.00 – 17.00 – Session 4 - Focus on a tailored-made Compliance risk assessment (Part 2 – Content)

Content

Identification of the compliance risks based on the case study

Team work

Wednesday, September 19

9.00 – 12.00 – Session 5 - How to ensure an efficient written presentation of a compliance program to a Board? (Part 1 – Methodology & design)

Content:

How to design a written presentation at the attention of Board members? What are the key tips and tools to know in order to make the presentation clear and efficient?

Team work

13.00 – 17.00 – Session 6 - How to ensure an efficient written presentation of a compliance program to a Board? (Part 2 – Content)

Content:

Team work

Thursday, September 20 – 9.00-16.30

9.00 – 12.00 – Session 7 - How to ensure an efficient oral presentation of a compliance program to a Board?

Content:

Oral coaching

13.00 – 16.30 – TEAM WORK

Friday, September 21 - Assessment Day

09.00 – 10.15 **Assessment**

10.15 – 10.30 *Coffee break*

10.30 – 12.00 Assessment

12.00 – 13.15 *Lunch break*

13.15 – 15.45 Assessment

16.00 – 17.00 *Debriefing – Feedback*

Closing event to define

Saturday, September 22

Departure Day

i

i

Remark: By delivery date, any training documentation shall be subject to regular reviews and updates amending the table of content as described herein.

* One of the core values of the House of Training is pragmatism, the training it provides is therefore: practical, current, modular and targeted.

Bank and finance professionals from all disciplines are facing one international challenge in particular, which is to work together to improve the quality of services while reducing costs, within a framework that is increasingly subject to strict regulations and the use of technology.

In order to face the challenge of delivering fully-adapted training programmes, the House of Training uses a quality management method that it calls "Quality Circles", that bring together professionals and practitioners from the financial sector with shared goals, philosophy and passion for learning. Our quality circles have an intimate knowledge of the real needs in the industry and collaborate actively with the House of Training to integrate this understanding into our programmes.

Programme organised in collaboration with and validated by