
COMPLIANCE CERTIFICATION PROGRAMME

Foundation Level

Seminar financed by the Luxembourg Ministry of Finance for 21 participants from the House of Training - ATF partner countries

Luxembourg, 19-23 February 2018

FINAL PROGRAMME

Saturday, February 17

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

Sunday, February 18

9.30 – 13.00 Walking visit of Luxembourg City

From 19 to 23 February - 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, February 19

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 – 12.00 **Compliance, Introduction and Fundamentals**

Trainer: Amandine Laurent (to be confirmed)

Amandine is Co-Head of the House of Training Quality Circle Compliance International; 8 years' experience in Compliance in the financial sector in Luxembourg (banking, investment funds and insurance)

Content

Introduction, Programme and candidate presentation

Fundamentals of Compliance (Part 1 & 2) and Introduction – Why Compliance?

Programme organised in collaboration with and validated by

13.00-16.00 - What is Compliance?

Trainer: Mr Diego Uliana (to be confirmed)

Diego is Chief Compliance Officer for a banking institution in Luxembourg. He provides training in Luxembourg and abroad. He is a member of ALCO

Content

International bodies promoting Compliance, Establishing a Compliance function, Compliance risk based approach, Compliance function roles and responsibilities

Tuesday, February 20

9.00 – 16.00 - Financial Crime

Trainer: Mr Charles Vandoorslaer (to be confirmed)

Charles V...is Chief Compliance Officer for a financial institution in Luxembourg. He is a Board member of ALCO and provides regular training in Luxembourg.

Content:

Definitions, Regulatory environment, AML Risk Assessment, Customer Due Diligence (CDD), Adequate Internal Organization, Cooperation with the Authorities

Case Studies

Wednesday, February 21

9.00 – 12.00 - Consumer Protection

Trainer: Mr Xavier Leydier (to be confirmed)

Xavier is Head of Compliance for a banking institution based in Luxembourg. He travels regularly in the context of his position and is a lecturer for seminar in Luxembourg and abroad. He is a member of ALCO

Content:

What is MiFID? Scope of MiFID, MiFID Luxembourg implementation, MiFID key obligations

Case studies

13.00 – 16.00 - Market Integrity

Trainer: Mr Sylvain Aubry (to be confirmed)

Sylvain is the country head of regulatory compliance for a financial institution in Luxembourg covering all business lines (Private banking, securities services, commercial banking..). He is also a lecturer in France and Luxembourg for compliance programs. He is a member of ALCO

Content:

Introduction, MAR & MAD II, General trend, Insider trading, Market manipulation, Suspicious Transaction Reporting, Sanctions

Case studies

Thursday, February 22 – 9.00-16.30

9.00 – 12.00 **Data protection**

Trainer: Mrs Clarisse Houll (to be confirmed)

Clarisse is compliance expert and trainer for House of Training. She is a member of ALCO

Content:

Introduction, Key definition, GDPR professional obligations, Sanctions

13.00 – 16.30

Trainer: Mrs Clarisse Houll (to be confirmed)

Case studies

Friday, February 23 - Assessment Day

09.00 – 10.15 Questions & Answers with Mr Diego Uliana (to be confirmed)

10.15 – 10.30 *Coffee break*

10.30 – 12.00 **Written exam Part 1 (Multiple Choice)**

12.00 – 13.15 *Lunch break*

13.15 – 15.45 **Written exam Part 2 (OPEN QUESTIONS)**

18.30-20.30 *Closing Event offered by the Ministry of Finance*

Saturday, February 24

Departure Day

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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.