



# CISI Level 3 Award in **Global Financial Compliance**

## **Financial Compliance & Risk Qualification & CPD Opportunities for you and your firm**



A successful compliance function is a fundamental requirement for any effective business; in financial services it is a critical component.

The Global Financial Compliance qualification addresses techniques used to implement a successful compliance function in a firm. It provides a comprehensive introduction to all the issues a global Compliance Officer may encounter. It addresses international issues including the international regulatory environment, managing the risk of financial crime, governance, risk management, ethics, integrity and fairness.

To support the financial services industry and our members, we have developed extensive training and CPD programme which includes: -

- ✓ CISI Level 3 Award in Global Financial Compliance
- ✓ 8-day certification course
- ✓ Expert trainer
- ✓ Global recognition



### **YOUR TRUSTED TRAINING PARTNER**

HRDF Certified Class A Training Provider

[www.axsel.com.my](http://www.axsel.com.my)

Organized by:



## WHY?

Global Financial Compliance will provide you with a broad understanding of the compliance issues that arise within the financial services industry. The qualification addresses techniques used to implement a successful compliance function in a bank and provides a comprehensive introduction to all the issues a global Compliance Officer may encounter. It explores the international regulatory environment, managing the risk of financial crime, governance, risk management, ethics, integrity and fairness.

Global Financial Compliance is regulated by Ofqual as a level 3 qualification on the Regulated Qualifications Framework (RQF). On the European Qualifications Framework, this equates to a level 4 qualification. As a stand-alone award it is recognised by Ofqual as the level 3 Award in Global Financial Compliance.

## SUMMARY SYLLABUS

- **The International Regulatory Environment**
  - Models of regulation
  - The International approach to regulation
- **The Compliance function**
  - International best practice
  - The role of the Compliance function within a firm
  - Managing regulatory relationships
- **Managing the risk of financial crime**
  - Money laundering, terrorist financing and the standards required of firms
  - Practical implications
  - Policies, procedures and controls required of Firms
- **Ethics, Integrity and Fairness**
  - Ethics
  - Market Integrity
  - Fair Conduct
  - Fair Dealing
- **Governance, Risk management and Compliance**
  - Corporate governance
  - Key risk types, their application and impact on the Compliance function

## WHEN AND WHERE?

4<sup>th</sup>, 5<sup>th</sup>, 11<sup>th</sup>, 12<sup>th</sup>, 18<sup>th</sup>, 19<sup>th</sup>, 25<sup>th</sup>, 26<sup>th</sup>  
February 2017 (Weekends)  
8 days – 9am to 5pm

**Axsel Training Centre**  
No.19, First Floor, Jalan 1/21, Petaling  
Jaya, Selangor D.E.

## WHO?

The scope of the syllabus makes the qualification suitable for all compliance staff and will be especially relevant to Compliance Officers.

## ASSESSMENT

A two-hour, 100 multiple-choice question exam taken by computer based testing (CBT).

Visit [axsel.com.my/cisi](http://axsel.com.my/cisi) for more info.