



Professional Development Institute
info@pdi.org.uk
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Regulatory Compliance Specialist

Certificate Overview

This professional certificate has been designed to provide participants with a holistic overview of the key elements that they will encounter as Compliance Manager within the finance sector. The certificate will develop the knowledge, understanding and abilities relating to finance compliance risk management, considering the sorts of chance that emerge from the nature of finance, the trends that are forming emerging risks, and the implications of these for long run of finance compliance risk management.

What you will Learn - Key Takeaways

Managing and formulating all aspects of a compliance risk management program to make sure of compliance with regulatory requirements laws and regulations.

Understand the ways in which best practice in regulatory compliance risk management could be applied to build and embed an effective compliance risk culture.

Target Audience

This highly practical and interactive certification program has been specifically designed for professionals in the finance sector with positions:

- Chief Compliance Executives
- Compliance Heads, Directors, and Managers

Certificate Outline

Finance Compliance Risk drivers, influences, and trends

Compliance Culture, Compliance Governance and Oversight

The three lines of defence model

Compliance management and Enterprise-Wide Risk Management/Financial Crimes Risk Assessment framework

Compliance Risk Based Approach

Compliance management key principles (policies, risk appetite)

Managing regulatory compliance risks

Assessment and Management of Compliance Risk

Compliance Monitoring



Professional
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Institute
Member of the IAB Group

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Regulator and Auditor Compliance Management

Compliance Analysis and Internal/External Reporting

Impact of technology on finance compliance management and the implications for the future

Exam Requirements

Online Examination will need to be sat under controlled conditions at a PDI accredited centre.

70% passing grade.

Exam available in a range of different languages.

3 Hours duration.



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