FM294:
Banking Compliance & Frauds

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Training Description:

This intensive training course is designed to provide participants with a comprehensive understanding of banking compliance frameworks and fraud detection and prevention mechanisms. It explores regulatory requirements, compliance risk management, internal controls, and modern fraud typologies, equipping participants with the tools to identify, investigate, and prevent compliance breaches and fraudulent activities.

Training Objectives:

By the end of the training, participants will be able to:

- ✓ Understand the regulatory framework governing the banking sector
- ✓ Identify key compliance requirements and risk areas in banking
- ✓ Recognize various types of banking frauds and their red flags
- ✓ Implement effective compliance and fraud prevention controls
- ✓ Develop and assess anti-fraud strategies and compliance programs

Training Designed for:

This training course is intended for Compliance Officers, Risk Management Professionals, Internal Auditors, Fraud Investigators, Bank Operations and Legal Teams, Branch Managers and Relationship Officers and Regulatory Affairs Professionals.

Training Requirement:

"Hand's on practical sessions, equipment and software will be applied during the course if required and as per the client's request."

Contents can be adapted to your specific wishes. It is therefore possible to focus on specific modules of the training course as per client's learning needs and objectives. Further, it should be forwarded to us a month prior to the course dates.

Training Program:

DAY ONE:

- ❖ Introduction to Banking Compliance & Regulatory Environment
  - Overview of compliance in banking
  - Regulatory bodies and frameworks (e.g., Basel, FATF, local regulators)
  - Key regulations: AML, KYC, GDPR, Basel III, etc.
  - Corporate governance and compliance culture
  - Risk-based approach to compliance
- ❖ Activities:
  - Case study: Basel III compliance implementation
  - Group discussion: Building a compliance culture

DAY TWO:

- ❖ Compliance Risk Management and Internal Controls
  - Components of compliance risk
  - Compliance risk assessment process

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- Designing and implementing internal controls
- Compliance monitoring and testing
- Role of internal audit in compliance

❖ **Activities:**
- Risk mapping workshop
- Interactive control design exercise

DAY THREE:

❖ **Understanding and Detecting Banking Frauds**
- Types of banking frauds: internal, external, cyber, account frauds, loan frauds, etc.
- Red flags and fraud indicators
- Fraud triangle and behavioral red flags
- Technology in fraud detection: AI, data analytics, transaction monitoring

❖ **Activities:**
- Fraud scenario analysis
- Video: Anatomy of a real-world banking fraud case

DAY FOUR:

❖ **Investigating and Responding to Frauds**
- Conducting internal investigations
- Evidence collection and documentation
- Reporting obligations and regulatory communication
- Legal aspects and disciplinary action
- Recoveries and restitution

❖ **Activities:**
- Role-play: Conducting an interview during a fraud investigation
- Simulation: Writing an internal fraud report

DAY FIVE:

❖ **Building an Anti-Fraud & Compliance Framework**
- Enterprise-wide fraud risk management strategy
- Whistleblower mechanisms and ethics hotline
- Training and awareness programs
- Designing a compliance program: policies, procedures, governance
- KPIs and metrics for compliance and fraud detection

❖ **Activities:**
- Group project: Designing a compliance & anti-fraud framework

❖ Course Conclusion

❖ POST-ASSESSMENT and EVALUATION

Training Methodology:

This interactive training course includes the following training methodologies as a percentage of the total tuition hours:

- 30% Lectures, Concepts, Role Play
- 70% Workshops & Work Presentations, Techniques, Based on Case Studies & Practical Exercises, Gamification, Software & General Discussions
- Pre and Post Test

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Training Certificate(s):

CMCT Internationally recognized certificate(s) will be issued to each participant who completed the course.

Training Fees:

TBA As per the course location - This rate includes participant's manual, hand-outs, buffet lunch, coffee/tea on arrival, morning & afternoon of each day.

Note: The 5% VAT (Value Added Tax), will be effective starting 01st of January 2018 as per the new regulation from the UAE Government. The VAT applies for all quotation both for local and abroad.

Training Timings:

Daily Timings:

07:45 - 08:00	Morning Coffee / Tea
08:00 - 10:00	First Session
10:00 - 10:20	Recess (Coffee/Tea/Snacks)
10:20 - 12:20	Second Session
12:20 - 13:00	Recess (Prayer Break & Lunch)
13:00 - 14:00	Last Session

For training registrations or in-house enquiries, please contact:

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