MERCURY

Financial Compliance and Regulatory Risk Management

18 – 22 October 2027
Casablanca (Morocco)



Dubai - UAE: +971 4 450 5697
Istanbul - Türkiye: +90 539 599 1206
Amman - Jordan: +962 79 712 3347

Financial Compliance and Regulatory Risk Management

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Introduction

The Financial Compliance and Regulatory Risk Management course explains how organizations identify, assess, monitor, and control financial regulatory risks. It examines financial regulations, compliance obligations, governance structures, internal controls, and risk-based compliance practices. Participants explore regulatory risk management across financial reporting, customer activities, transactions, AML, KYC, sanctions, fraud, and regulatory change. The program develops understanding of compliance monitoring, control testing, documentation, reporting, breach investigation, and corrective action. It emphasizes connecting compliance responsibilities with financial governance, strategic decision-making, and organizational risk appetite. Participants develop the knowledge to strengthen compliance frameworks, improve regulatory readiness, and support sustainable financial risk management.

Targeted Groups

This Financial Compliance and Regulatory Risk Management training targets professionals seeking knowledge and skills:

- Finance managers overseeing regulatory obligations and financial controls.
- Compliance officers monitoring regulatory requirements and reporting duties.
- Risk managers assessing regulatory and financial risk exposure.
- Internal auditors reviewing compliance, controls, and audit evidence.
- Financial controllers strengthening governance and reporting accuracy.
- Banking and investment professionals managing AML, KYC, and sanctions risks.
- Senior leaders integrating compliance and risk management into strategic decisions.

Course Objectives

Participants will achieve the following objectives by completing the Financial Compliance and Regulatory Risk Management course:

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- Explain core principles of financial compliance and regulatory governance.
- Interpret financial regulations affecting finance operations and reporting.
- Assess regulatory risk using structured identification and evaluation methods.
- Evaluate internal controls supporting compliance and financial integrity.
- Analyze AML, KYC, sanctions, fraud, and conduct-related risks.
- Review compliance monitoring, testing, documentation, and reporting processes.
- Identify regulatory breaches, control weaknesses, and emerging exposures.
- Develop practical responses to compliance failures and risk events.
- Strengthen regulatory change management and compliance communication.
- Apply risk-based approaches to prioritize compliance activities and resources.
- Evaluate compliance performance through meaningful indicators and reporting.
- Support audit readiness through reliable evidence, records, and accountability.
- Integrate regulatory risk considerations into financial planning and governance.

Targeted Competencies

Participants will gain the following competencies during the Financial Compliance and Regulatory Risk Management program:

- Regulatory interpretation and compliance analysis.
- Financial risk identification and assessment.
- Internal control evaluation and testing.
- Compliance monitoring and reporting.
- AML and KYC risk awareness.
- Sanctions and fraud risk assessment.
- Regulatory change management.
- Compliance documentation and evidence review.
- Governance and accountability analysis.
- Breach investigation and corrective action planning.
- Risk-based prioritization and escalation.
- Strategic compliance decision-making.
- Regulatory risk communication and reporting.

Real-world Case Studies

In this Financial Compliance and Regulatory Risk Management training, participants develop skills through the following cases:

- A bank reviews customer onboarding controls after repeated KYC exceptions.
- A multinational finance team responds to changing regulatory reporting requirements.
- An investment firm assesses sanctions exposure across cross-border transactions.
- A corporate treasury function investigates control failures causing reporting discrepancies.
- A financial institution strengthens monitoring after unusual transaction patterns emerge.

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Course Content

Unit 1: Financial Compliance and Regulatory Governance

- Define financial compliance and governance.
- Explain regulatory frameworks and obligations.
- Distinguish major types of financial risk.
- Examine compliance roles and accountability.
- Identify financial reporting obligations.
- Assess compliance culture and ethical conduct.
- Map obligations to finance processes.

Unit 2: Regulatory Risk Identification and Assessment

- Identify key regulatory risks.
- Assess risk likelihood and impact.
- Develop regulatory risk registers.
- Evaluate inherent and residual risk.
- Analyze emerging regulatory risks.
- Prioritize significant compliance exposures.
- Assess risks across jurisdictions and products.

Unit 3: Compliance Controls and Financial Risk Management

- Examine financial compliance controls.
- Evaluate preventive and corrective controls.
- Review segregation of duties and approvals.
- Assess AML and KYC controls.
- Analyze sanctions and fraud risks.
- Test control design and effectiveness.
- Identify regulatory control gaps.
- Review compliance evidence and documentation.

Unit 4: Compliance Monitoring, Reporting, and Regulatory Change

- Establish risk-based compliance monitoring.
- Define compliance risk indicators.
- Evaluate regulatory compliance reports.
- Manage regulatory changes and requirements.
- Review audit-ready documentation.
- Investigate compliance incidents and breaches.
- Assess remediation and corrective actions.
- Escalate significant compliance concerns.

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Unit 5: Strategic Regulatory Risk and Compliance Governance

- Integrate regulatory risk into financial planning.
- Align compliance with organizational strategy.
- Evaluate compliance performance indicators.
- Strengthen executive compliance oversight.
- Develop sustainable compliance programs.
- Assess regulatory breach implications.
- Improve compliance governance and resilience.
- Embed compliance metrics into decision-making.

Final Insights & Key Takeaways

Financial Compliance and Regulatory Risk Management strengthens the ability to identify regulatory exposure, evaluate controls, and maintain effective compliance governance. Participants gain a strategic perspective for integrating regulatory requirements, financial risk management, and compliance performance into stronger organizational decision-making.