MERCURY

Regulatory Compliance and Reporting in Banks

07 - 11 Dec 2026
Boston (USA)

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Ref.: 16177_1009565 **Date:** 07 - 11 Dec 2026 **Location:** Boston (USA) **Fees:** 7500 **Euro**

Introduction:

In the ever-evolving global financial landscape, regulatory compliance has become a cornerstone of banking operations. Banks and financial institutions must continuously adapt to local and international regulations to ensure transparency, stability, and risk mitigation. This Regulatory Compliance and Reporting in Banks course equips banking professionals with the knowledge and tools to maintain full compliance with regulatory bodies.

The Regulatory Compliance and Reporting in Banks training course focuses on practical approaches to aligning operations with the latest regulatory standards and requirements. It covers frameworks such as Basel III, AML/CFT, KYC, IFRS reporting standards, and ESG regulatory disclosures.

This Regulatory Compliance and Reporting in Banks program examines the role of compliance officers, internal auditors, and reporting teams in ensuring organizational accountability. Participants will proactively manage compliance challenges and foster a culture of integrity.

Targeted Groups:

This Regulatory Compliance and Reporting in Banks training targets professionals seeking specialized knowledge and skills:

- Compliance officers work in banking institutions.
- Internal auditors handle regulatory adherence.
- Risk managers monitor legal and operational exposure.
- Legal department staff are involved in banking regulations.
- Financial controllers manage statutory reporting.
- Banking professionals transitioning into governance roles.
- Executives are responsible for aligning strategy with compliance.
- Accountants prepare financial reports according to global standards.
- AML and KYC specialists seeking to deepen expertise.
- Consultants advising banks on regulatory reforms.

Targeted Competencies:

Participants will gain the following competencies during the Regulatory Compliance and Reporting in Banks program:

- Mastery of core compliance frameworks in banking.
- Proficiency in creating regulatory and statutory reports.
- Capability to assess compliance risks and gaps.
- Skills in implementing AML/CFT programs effectively.
- Understanding of global financial regulations and directives.
- Critical thinking in evaluating compliance scenarios.
- Ability to build transparent and auditable reporting systems.
- Communication skills to present findings to regulators and stakeholders.
- Ethical leadership in compliance culture development.

Course Objectives:

Participants will achieve the following objectives by completing the Regulatory Compliance and Reporting in Banks course:

- Understand the regulatory ecosystem governing banking operations.
- Identify compliance requirements under local and global regulations.
- Interpret key frameworks such as Basel III, IFRS, FATCA, and ESG mandates.
- Apply regulatory standards to internal controls and reporting systems to ensure compliance.
- Analyze the consequences of non-compliance and develop mitigation plans.
- Develop audit-ready regulatory reports aligned with legal obligations.
- Evaluate compliance performance using KPIs and internal dashboards.
- Demonstrate ethical decision-making and integrity in reporting practices.
- Collaborate with cross-functional teams to ensure consistent compliance.
- Implement proactive compliance monitoring programs in the bank.
- Solve real-world regulatory case studies and suggest improvements.
- Reflect on emerging trends such as digital compliance technologies.
- Reinforce accountability and transparency through accurate disclosures.
- Recommend governance enhancements based on compliance gaps.
- Communicate compliance risks to senior stakeholders.

Course Content:

Unit 1: Foundations of Regulatory Compliance in Banking:

- Overview of the regulatory landscape for banks.
- Role and responsibilities of compliance officers.
- Regulatory bodies include central banks, the FATF, the Basel Committee, and others.
- Key compliance mandates for financial institutions.
- Understanding the compliance lifecycle and documentation.
- Importance of compliance culture and governance.
- Regulatory reporting vs. internal control reporting.
- Overview of financial crimes: AML, CFT, fraud prevention.
- Introduction to compliance audits and assessments.

Unit 2: Global Regulatory Frameworks and Standards:

- Basel III: capital adequacy, stress testing, and liquidity.
- IFRS and Financial Reporting Requirements in Banks.
- FATCA, CRS, and Their Implications for Reporting
- ESG compliance and sustainability reporting in banking.
- GDPR and data protection obligations in financial services.
- The role of the Financial Action Task Force FATF.
- OECD guidelines and global financial transparency efforts.
- Interpreting IOSCO principles for compliance reporting.
- Real-world case studies on regulatory enforcement actions.

Unit 3: Compliance Risk Management and Internal Controls:

- Identifying regulatory risk categories in banking.
- Risk-based compliance approach and mapping processes.
- Implementing internal controls to support regulatory reporting.
- Building effective compliance dashboards and KPIs.
- Tools for monitoring and mitigating compliance risks.
- Integrating compliance into enterprise risk management ERM.
- Compliance testing techniques and continuous auditing.
- Using internal audit findings to enhance compliance programs.
- Managing reputational and legal risks linked to reporting gaps.

Unit 4: Regulatory Reporting Procedures and Requirements:

- Structuring reports for central bank submissions.
- Key elements of capital adequacy and liquidity reporting.
- Preparing AML/CFT transaction reports and STRs.
- Reporting under IFRS for banking operations.
- Creating regulatory disclosures for financial statements.
- Digital Transformation in Regulatory Reporting RegTech
- Harmonizing internal data with external compliance demands.
- The Role of Technology and Automation in Report Accuracy.
- Best practices in submission timelines and audit trails.

Unit 5: Compliance Technology, Trends, and Future Outlook:

- Introduction to RegTech and SupTech innovations.
- AI and Machine Learning in Compliance Analytics.
- Blockchain for transparent and tamper-proof reporting.
- Automating KYC and AML compliance functions.
- The rise of digital regulatory sandboxes and testing.
- Adapting to fast-evolving compliance regulations.
- Future of ESG compliance and stakeholder reporting.
- Building resilience in compliance teams and functions.
- Career development pathways in banking compliance.

Final Insights & Key Takeaways:

Mastering regulatory compliance ensures that banks operate with integrity, transparency, and trustworthiness. This Regulatory Compliance and Reporting in Banks course empowers professionals with the skills and tools needed to adapt to evolving compliance standards. By integrating regulatory knowledge with practical application, participants will become valuable assets to their organizations. Future-ready compliance professionals must embrace innovation while upholding rigorous standards.

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Registration form on the :
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