

# **COMPLIANCE**

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**SYLLABUS** 

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Regulators

- The International Context
  - Bank for International Settlements (BIS)
  - Basel Committee on Banking Supervision
  - Wolfsberg Group
  - Federal Reserve System
  - Australian Regulatory Agencies
  - Reserve Bank of Australia (RBA)
  - The Australian Prudential Regulation Authority (APRA)
  - Australian Securities and Investments Commission (ASIC)
  - The Treasury
  - The Organisation for Economic Co-operation and Development (OECD)
  - International Chamber of Commerce
  - European Data Protection Act (General Data Protection Regulation - GDPR)
  - How the Compliance Officer Deals with International and Regional Laws and Organisations

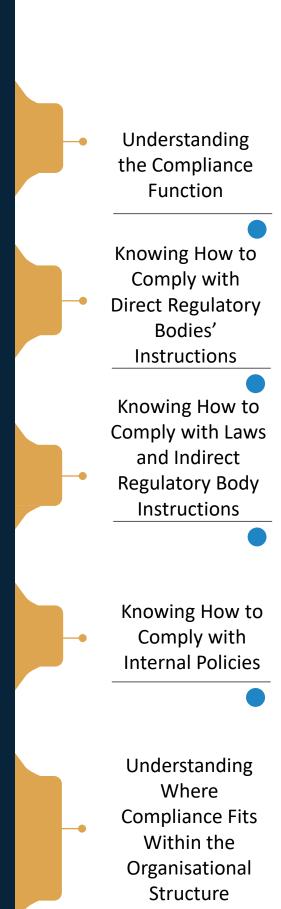
Understanding the Role of the Regulatory Bodies

Understanding the International Context of the Regulatory Bodies

- The Compliance Function within Financial Institutions (Practical Aspect)
- Compliance with Direct
  Regulatory Bodies' Instructions

Compliance with Laws and Indirect Regulatory Bodies' Instructions

- Compliance with Internal Policies
- Compliance Department Location within the Institution's Organisational Structure



- Relationship of the Compliance
  Department with Other
  Departments within the
  Institution
  - Relationship of the Compliance Department with Internal Audit
  - Relationship of the Compliance Department with the Legal Department
  - Relationship of the Compliance Department with the Risk Department
  - Relationship of the Compliance Department with the Anti-Money Laundering Department
  - Relationship of the Compliance Department with the Chief Executive Officer (CEO)
  - The Relationship of the Compliance Department with the Board of Directors and its Committees

Understanding How the Compliance Department Relates to Other Departments

Understanding How the Organisation Should be Structured

Organisational Structure

# Compliance Policy

- The Scope and Purpose of the Policy
- Determining the Tasks of the Board of Directors
- Determining the Tasks of the Compliance Committee
- Determining the Responsibilities of the Executive Management Team for Monitoring Compliance
- Determining the Tasks and Qualifications of the Compliance Department
- Tasks of the Institution's Staff Regarding Compliance
- Communication with Regulatory Bodies

### Compliance Monitoring and Examination Process

- First: Monitoring Simple Requests
- Second: The Monitoring of Periodic Reporting to Regulators
- Third: Compliance Role in Work Procedures and Providing Advice
- Fourth: The Compliance Monitoring of Regulatory Requirements

Understanding How to Create a Compliance Policy

Knowing Compliance Monitoring and Examination Processes



