Finance, AML & Compliance

Introduction to Compliance

Course Details

Price

£215.00

Start date

27 January 2027

Length

Half day (09:00-12:30)

CPD Points

3.50

Course Overview

This course is designed for those wishing to learn about Compliance or looking to work towards becoming a Compliance Officer in the financial services industry.

Content

This course will cover the following topics:

- The definition of compliance – why regulate?
- The regulatory background
- Implementation of the correct policies, procedures, and internal controls
- The role of corporate governance
- Duties and responsibilities of a Compliance Officer
- The compliance monitoring programme

- A director's role in compliance
- Regulatory visits – key elements
- Recent penalties

Benefits

This course is at an introductory level and it is assumed that you will have a basic knowledge of regulatory compliance. It will equip you with the knowledge of regulatory compliance within the financial services industry and the responsibilities of the Compliance Officer function.

After attending the course, you will:

- Be aware of the importance of compliance within the financial services industry and its impact
- Understand your own responsibilities and what is required to ensure compliance
- Gain an awareness of the regulatory requirements
- Be able to identify any compliance deficiencies within the workplace
- Recognise the implications of poor compliance

Next Steps

If you would like to book a place on this course please click on the **'Book Course'** button to the right of this page and login or register for a user account to complete your booking(s). Any queries please do not hesitate to contact us via admin@gta.gg or call us on 01481 224570.

If no date is scheduled for this course at the present time please click on the **'Register Interest'** button and login or register for a user account so that we can add you to our course interest register. This register allows us to contact our tutors and finalise dates for a course as soon as we have a few people who have expressed their interest, so the more delegates who register their interest, the sooner we can schedule a particular course.

Course Tutor

Emma Mauger

Emma Mauger, TEP,Dip (ITM), FICA, Int.dip (COMP), Int.dip (AML), Int.dip (FinCrime). Emma has over 20 years' experience in the Guernsey financial sector and is one of only a handful of people worldwide to hold all three ICA Diplomas delivered via Manchester University: ICA International Diploma in Compliance, in Financial Crime Prevention and in Anti Money Laundering. In addition, Emma is a fully qualified STEP member, a certified GDPR Practitioner and a member of the Institute of Directors.