



RISK AND COMPLIANCE TRAINING

Risk Management | Regulatory Compliance
| Data Protection | Cybersecurity |

DELIVERING BETTER RISK MANAGEMENT



BOARD AND EXECUTIVES MANAGEMENT TRAINING COURSES

AML / CFT / CPF BOARDS AND EXECUTIVES



Course Overview

This course offers **Board Members and Executives** insights to the world of Financial Crime (AML / CFT / C PF) Risk Management.

It focuses on the **strategic impact** of Financial Crime (AML / CFT / CPF) on the financial services sector; as well as its **consequences for the broader economy**.

Boards and Executives have a crucial role to play in the success of any organisations Financial Crime Compliance framework – By setting a strong Anti-Financial Crime culture - **Tone From The Top**

The following topics will be covered during this course:



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AML / CFT RISK MANAGEMENT FRAMEWORKS

- Review the components of the AML / CFT risk management framework and its role in combating money laundering
- Coverage includes Customer Onboarding; KYC; Customer Due Diligence / Enhanced DueDiligence; Transaction
- Monitoring; Suspicious Activity & Regulatory Reporting; Record-Maintenance;
- Role of Technology and AI in AML/CFT Risk Management



THE STRATEGIC IMPACT OF FINANCIAL CRIME

- A discussion into the how Financial Crimes impact economies; companies and their opportunities for growth
- In-depth focus on Money Laundering; Terrorist Financing; and local and
- International Sanctions Management



THE STRATEGIC IMPACT OF FINANCIAL CRIME

- Overview of Anti-Money Laundering and Counter Terrorism Financing Legislation and Regulations
- An overview of Financial Crime National Risk Assessment (NRA)
- Introduction to Financial Action Task Force (FATF)
- Discussion on FATF Grey-Listing | Impact & Exit Actions |
- Overview of International AML Regulations (USA | UK | EU | S.Africa |Nigeria |

INTRODUCTION TO FINANCIAL CRIMES

- A focus on Money Laundering | Terrorist Financing | Sanctions | Counter Proliferation Financing |
- Predicate Crimes | Pan-African Organised Crime Risks Overview

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RESPONSIBILITIES OF THE BOARD MEMBER

- Discuss the roles and responsibilities of Board Members in relation to the governance and oversight of Financial Crime
- The importance of Financial Crime risk management in the context of Corporate Governance



INTRODUCTION TO TRADE-BASED MONEY LAUNDERING (TBLM)

- Trade / Export Finance and its global and regional significance
- Why does Organised Crime also want to get involved in Trade Finance
- How does TBLM occur
- What are the risks to the institution if it chooses a Trade Finance expansion strategy
- What mitigation actions should the institution undertake while it expands its Trade Finance business



INTRODUCTION TO COUNTER PROLIFERATION FINANCING (CPF)

- Introduction to CPF – Including UN Conventions on preventing proliferation of WMDs
- Global View on WMDs - | Iran | North Korea | Russia |
- Identifying Proliferation Financing attempts in Banking and Finance
- Essentials of Counter Proliferation Financing Framework

INTERNATIONAL SANCTIONS

Russia-Ukraine Crisis and the World of International Sanctions Compliance

- The international sanctions landscape of the past 20 years
- Impact Russian Invasion of Ukraine – The International Sanctions Regime and Impact on International Trade Finance
- Effect of Targeted Financial Sanctions to Individuals and Businesses – Potential customers of your organisation



AML / CFT / CPF BOARDS AND EXECUTIVES

Course Details



Course Duration:

- 2 - 3 hours



Delivery Mode:

- Virtual Online
- Face to Face (International Training Available).



Pricing Available
On Request
(Minimum 10
Delegates)

DATA PROTECTION TRAINING BOARD MEMBERS AND EXECUTIVES



Course **Overview**



DATA PROTECTION TRAINING FOR BOARD AND EXECUTIVES MEMBERS

Course Details



Course Duration:

- 2 - 3 hours



Delivery Mode:

- Virtual Online
- Face to Face
(International
Training Available)



Pricing Available
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Delegates)

CYBERSECURITY TRAINING BOARD AND EXECUTIVES



Course Overview

Digitalisation appears to be unstoppable; driven by the rising popularity of online and mobile service channels; cheaper cost of data storage and the growing demand for connected devices

Nowhere in the world is this expansion in the digital economy more rapid than in Africa. The use of digital payments or mobile-money more is now a way of life in many sub-Saharan African nations

According to the latest GSMA Mobile Money industry report, over US\$ 1.9Bn worth of transactions are processed via digital / mobile money platforms every single day; and Africa accounts for a growing share of that.

The global threat of cybercrime is increasing every single year; and is estimated to exceed US\$6 Trillions annually. With the COVID-19 pandemic came a rapid transition to remote-working methods. And with this came a rise in the opportunities for cybercriminals to launch more attacks on untrained staff.

Africa is not exempt as demonstrated by recent attacks major African governments and brands. In fact all the latest cybersecurity industry research is suggesting that cybercriminals are now targeting Africa and the global south as the US; UK; and EU become better at preventing attacks and catching the Criminals

As our IT network security and protection technologies become more effective, our staff have become a major targets for cyber attacks

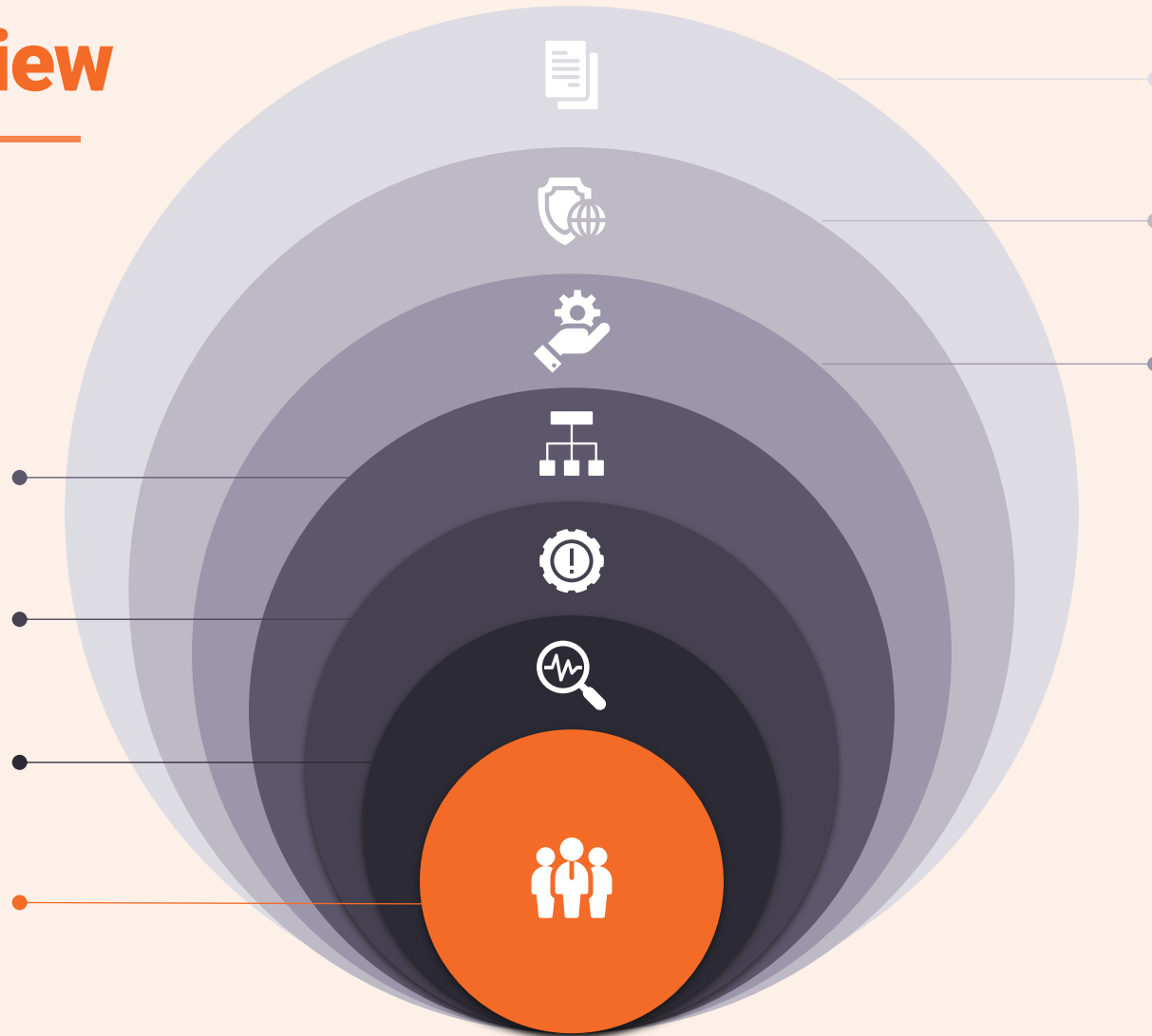
Course **Overview**

4. Business Email Compromise and **Digital Executive Fraud**

3. Types of Cyber Attacks
A Deep Dive Into Ransomware

2. Overview of Global and Africa Trends in **Cybercrime and Cyber Attacks**

1. Introduction to the **Internet**



5. Key Requirements For Managing Down **Cybersecurity Risk Exposure**

6. Roles and Responsibilities of **Board Members**

7. Handling the Inevitable **Incident Response and Recovery Planning**

CYBERSECURITY TRAINING FOR BOARD AND EXECUTIVES MEMBERS

Course Details



Course Duration:

- 3 hours



Delivery Mode:

- Virtual Online
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INTRODUCTION TO DISRUPTIVE TECHNOLOGIES BOARD AND EXECUTIVES

AI | Blockchain | Crypto-Currency

Insights Into How New Technologies Are Changing
Global Financial Services



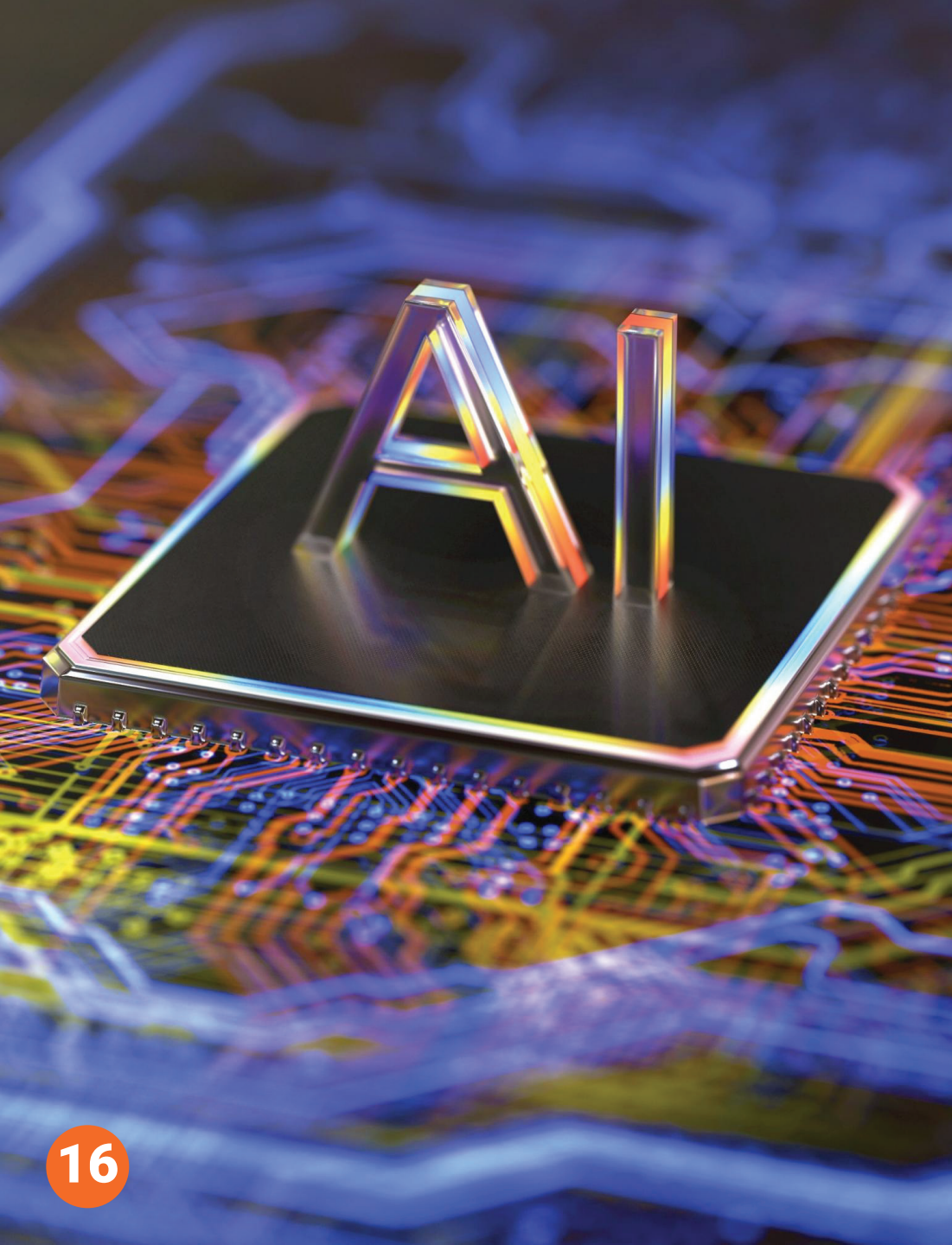
Course **Overview**

Steam; Electricity; Penicillin; the Printing Press; the Internal Combustion Engine are all major innovations that revolutionised our lives; humanity; and the world we live in today.

As bankers we have played a significant role in enabling these major Disruptive changes through our financing of ideas. But by far the biggest and most disruptive revolution of our time is technology. As we look back at some of the most disruptive technologies to have impacted our lives over the past 50 years, it is widely agreed that we consider the following technologies will be the most Disruptive of many time:

The Internet | Smartphones | Artificial Intelligence (AI) | Blockchain Technology (Foundational technology of the Virtual Assets Revolution)

In this Board engagement, we intend to focus on just the two most important Disruptive technologies of the future, namely AI and Blockchain.



Artificial Intelligence (AI)

There is so much that is being said about the current and potential innovative and disruptive nature of AI. The financial markets have given their verdict as reflected in the significant increase in value of AI technology companies from Chipmakers like Nvidia to software solution providers such as Oracle.

We would like to give our audience a lay person's introduction to AI.

We would then like to focus on how AI is already having a positive impact on the way in which banks operate today; by adding greater value to the customer experience; improving efficiencies and reducing cost through smarter ways of working.

But we will also bring balance and challenge to the discussions because AI technology is also bringing forward some very serious unintended consequences; For example, the use of AI by cybercriminals to innovate in their attacks; and avoid detection for longer. What are the emerging risks from AI.

Furthermore, there are ethical issues associated with AI that our audience must consider

Blockchain

The Foundation of Cryptocurrencies

Cryptocurrencies (Bitcoin, Ethereum), NFTs (non-fungible tokens), Initial Coin Offerings (ICOs) are amongst the growing population of virtual assets emerging into the world of banking and finance globally.

Virtual Assets are commonly defined as 'a digital representation of value that can be digitally traded, or transferred, and can be used for payment or investment purposes'.

And their use and acceptability is growing amongst the global financial mainstream with great speed. Over 90% of US Institutional investors now hold Virtual Assets.

In this discussion, our aim is to inform Board members and Executives about the nature of virtual assets; the global virtual assets market; the participants; and where the industry is heading.

Virtual Assets also come with a lot of negative perceptions and realities. These have negatively impacted the willingness for Regulators to permit Virtual Assets businesses.

We will debate these issues in the session and work out what is myth and what is fact.

Can you afford not to prepare for coming of Virtual Assets?

INTRODUCTION TO DISRUPTIVE TECHNOLOGIES FOR BOARD AND EXECUTIVES

Course Details



Course Duration:

- 2 -3 hours



Delivery Mode:

- Virtual Online
- Face to Face
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**CORPORATE
GOVERNANCE
TRAINING BOARD
AND EXECUTIVES**



Course Overview

This course offers an introduction to Good Corporate Governance

Good corporate governance ensures the organisation operates efficiently, ethically and in the best interests of all stakeholders.

It lays the foundation for long-term success, from decision making to managing risks

The following topics will be covered during this course:



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DEFINITION OF CORPORATE GOVERNANCE

- What is good corporate governance
- Overview of corporate governance in strategic risk management



CORE PRINCIPLES OF CORPORATE GOVERNANCE

- Fairness
- Transparency
- Responsibility
- Accountability
- Risk Management



KEY ELEMENTS OF A ROBUST CORPORATE GOVERNANCE FRAMEWORK

- Board of Directors - Set the company's strategic direction aligned to its Goals
- Shareholder rights
- Internal controls and audit mechanisms
- Executive compensation
- Ethical standards

CORPORATE GOVERNANCE MODELS

- The Anglo- American model
- The Japanese model
- The Continental model

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CORPORATE GOVERNANCE ROLES AND RESPONSIBILITIES

- Board of Directors
- Independent Auditors
- Board Audit Committee
- Senior Management



IMPLEMENTING CORPORATE GOVERNANCE FRAMEWORKS

- Internal controls framework
- Definition of codes of conduct
- Developing governance policies
- Board evaluations
- Focus on cyber security



IMPLEMENTING CORPORATE GOVERNANCE FRAMEWORKS

- Corporate strategy
- Succession planning

BROAD CORPORATE GOVERNANCE OVERVIEW

- Incorporate ESG goals and global standards
- Monitor and evaluate corporate governance practices
- Foster an ethical culture
- Achieve long-term success through effective corporate governance
- Sustainability and Resilience

CORPORATE GOVERNANCE FOR TRAINING BOARD AND EXECUTIVES

Course Details



Course Duration:

- 2 - 3 hours



Delivery Mode:

- Virtual Online
- Face to Face
(International
Training Available)



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Delegates)

ANTI-BRIBERY AND CORRUPTION TRAINING BOARD AND EXECUTIVE



Course Overview

With this course you will gain a solid understanding of Anti-bribery and Corruption risk as part of a journey that will confirm your baseline knowledge and understanding of the global regulatory landscape.

It will enable you to evaluate the impact on organisations that have failed to manage this risk globally.

Finally, we will ensure you are aware of how firms should manage Anti-Bribery and Corruption risk and your roles and responsibilities as a director. Leaving you better equipped to fulfil your responsibilities as a board or executive member and setting the right 'Tone at the Top'.

The following topics will be covered during this course:



INTRODUCTION TO BRIBERY AND CORRUPTION

- Establishing a baseline understanding of both bribery and corruption and how they are manifested in business and personal context



BRIBERY AND CORRUPTION – AN INTERNATIONAL PERSPECTIVE

- A review of the global landscape of bribery and corruption using local and globally-accepted metrics to determine bribery and corruption risk exposure.



LEGAL AND REGULATORY LANDSCAPE – LOCAL AND INTERNATIONAL

- Ensuring awareness of the laws and regulations governing bribery and corruption in both the local and international jurisdictional context in particular awareness of laws that are extra-territorial in nature.

BRIBERY AND CORRUPTION CASE STUDIES – GLOBAL PERSPECTIVE

- Walk-through of examples of bribery and corruption cases of significance in the global context; while paying credence to local cases and their resolution and impact

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ROLES AND RESPONSIBILITIES OF BOARDS AND EXECUTIVES

- Ensuring board and executive members are fully aware of the roles and responsibilities and in particular the consequences both personal and organisational when they fail in their duties



ROLE OF CULTURE IN MANAGING BRIBERY AND CORRUPTION RISKS

- Managing Bribery and Corruption risks successfully must be underpinned by the right organisational culture. We aim to examine the role of culture in achieving successful outcomes



BUILDING AN ANTI-BRIBERY AND CORRUPTION FRAMEWORK

- Ensuring a strong understanding of what a good Anti-Bribery and Corruption framework should consist of and what it required to deliver successful outcomes

IMPACT OF BRIBERY AND CORRUPTION – BRAND AND SOCIETY

- Examining the impact of bribery and corruption on the organisation's reputation, its customers, staff and its ability to attract inward investment

ANTI-BRIBERY AND CORRUPTION FOR BOARD AND EXECUTIVES

Course Details



Course Duration:

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ETHICS AND CONDUCT RISK TRAINING BOARD AND EXECUTIVES



Course Overview

Ethics is commonly described as the moral principles and values that guide decisions about what is right and wrong. It is as important in our businesses as it is in our personal lives. Adopting coherent business ethics and conduct principles and frameworks can deliver significant benefits including improved Customer trust and Brand loyalty | Deliver a marketing edge | Improve staff morale and performance | Reduce regulatory friction | Reduce reputational risk |

As board members and executives you set the Tone at the Top; and therefore, have great responsibility to deliver the right Ethics and Conduct culture in your organisations. This training will equip you to deliver on these responsibilities.

The following topics will be covered during this course:



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INTRODUCTION TO ETHICS AND CONDUCT

- Setting out a common understanding of ethics and conduct in financial services businesses including examining common ethical dilemmas impacting business strategies and decisions



IMPACT OF ETHICS AND BUSINESS CONDUCT FAILURES IN A GLOBAL AND LOCAL CONTEXT

- Examining cases of failures in organisational ethics and conduct their impact on businesses.



LEGAL AND REGULATORY LANDSCAPE – LOCAL AND INTERNATIONAL

- Discussions on the laws and regulations affecting businesses from a local and international perspective.

KEY CONSIDERATIONS IN DEVELOPING A STRONG ETHICS AND CONDUCT CULTURE

- Building and maintaining strong organisational culture that prioritises ethics and good conduct is good for business. We will examine the key components and considerations in building a sustainable culture.

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ROLES AND RESPONSIBILITIES OF BOARDS AND EXECUTIVES

- Ensuring board and executive members are fully aware of their roles and responsibilities and in relation to business Ethics and Conduct



EVOLUTION OF BUSINESS ETHICS AND CONDUCT – A FORWARD LOOKING VIEW

- The Ethics and Conduct landscape is changing. Global considerations and perspectives in areas like ESG is evolving, yet the underlying drivers of its existence are not diminishing especially in Africa. The unstoppable emergence of AI and its use of our customer's data will inevitably bring us new challenges



ETHICS AND CONDUCT – A STRATEGY PERSPECTIVE

- Good Ethics and Conduct can deliver enormous benefits for businesses. It must be one of the elements at the centre of business strategy development. We will examine why and how that can be achieved.

ETHICS AND CONDUCT RISK MANAGEMENT FRAMEWORKS AND CONTROLS

- We walk-through an Ethics and Conduct risk management framework; the resources required to build and maintain the framework; the role of the board, management and the risk management and compliance functions.

ETHICS AND CONDUCT RISK FOR BOARD AND EXECUTIVES

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