

COMPLIANCE REGULATORY PROFESSIONALS



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TRAINING CENTER



Introduction

Compliance Regulatory Professionals Training Course builds the working skills regulatory and compliance professionals need to manage obligations and relationships with regulators. Participants work through the regulatory landscape, obligation identification and interpretation, regulatory reporting, licensing and approvals, supervisory engagement, regulatory change, and remediation as one connected discipline. The programme links what regulators require with the evidence, reporting, and responses that show compliance. As a result, learners gain a practical method for regulatory work. Furthermore, the course strengthens interpretive judgement, reporting accuracy, and regulator communication.

Compliance Regulatory Professionals Course Objectives

- Explain the regulatory landscape and the role of supervisory authorities.
- Identify and interpret regulatory obligations across applicable rules.
- Build and maintain a regulatory obligation register and control map.
- Prepare accurate regulatory returns, filings, and notifications.
- Manage licensing, authorisation, and approval applications.
- Apply regulatory reporting data quality and assurance practices.
- Manage supervisory engagement, information requests, and inspections.
- Apply regulatory horizon scanning and change impact assessment.
- Apply enforcement, sanction, and remediation response practices.
- Apply regulatory relationship management and communication standards.

Course Methodology

- Interactive sessions built on regulatory compliance cases.

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- Workshops on obligation registers, returns preparation, and change mapping.
- Group exercises on regulator responses, gap analysis, and remediation plans.
- Hands-on practice with obligation registers, return checklists, and registers.
- Simulation of a supervisory meeting and a regulatory information request.
- Facilitator coaching and peer review on personal regulatory plans.

Who Should Take This Course

- Regulatory affairs and compliance professionals.
- Compliance officers in regulated financial and non-financial firms.
- Risk, governance, and internal control professionals.
- Legal advisors working with regulators.
- Internal auditors covering regulatory reporting and returns.
- Consultants advising on regulatory engagement and remediation.

Compliance Regulatory Professionals Course Outlines

Day 1: The Regulatory Landscape and Supervisory Authorities

- Types of regulators: prudential, conduct, market, and sector supervisors.
- Regulatory instruments: primary law, rules, guidance, and codes.
- Supervisory approaches: rules-based and principles-based.
- The regulatory relationship lifecycle and supervisory cycle.
- Regulatory expectations for governance and accountability.
- Regulator powers, information gathering, and inspections.
- Case discussion: a firm sanctioned for poor regulator engagement.





Day 2: Obligation Identification and Interpretation

- Building a regulatory obligation register.
- Sources of obligation: statutes, directives, circulars, and guidance.
- Interpretation principles and regulatory expectations.
- Mapping obligations to controls and responsible owners.
- Proportionality and materiality in compliance interpretation.
- Common interpretation errors and how to avoid them.
- Workshop: building a regulatory obligation register.

Day 3: Regulatory Reporting and Filings

- Types of regulatory returns and reporting frequency.
- Data sourcing, validation, and quality assurance.
- Preparing accurate returns, notifications, and applications.
- Deadlines, late submission handling, and breach reporting.
- Certification, sign-off, and accountability for returns.
- Regulator feedback, queries, and data reconciliation.
- Exercise: preparing a regulatory return with a quality check.

Day 4: Licensing, Approvals, and Regulatory Change

- Licensing and authorisation processes and criteria.
- Applications, variations, and approved persons regimes.
- Managing regulatory change and horizon scanning.
- Impact assessment of new rules on processes and controls.
- Regulatory change monitoring and implementation planning.

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- Communication with regulators on change and requests.
- Simulation: responding to a regulatory information request.

Day 5: Engagement, Enforcement, and Remediation

- Supervisory meetings, interviews, and inspection preparation.
- Handling findings, observations, and supervisory letters.
- Enforcement, sanctions, and settlement considerations.
- Remediation planning, ownership, and evidence of completion.
- Reporting to the board and audit committee on regulatory matters.
- Regulatory relationship management and constructive engagement.
- Capstone: presenting a regulatory engagement and compliance plan.

Conclusion

By successfully completing Compliance Regulatory Professionals, participants will gain a practical command of the regulatory landscape, obligation identification and interpretation, regulatory reporting, licensing and approvals, change management, and enforcement response. They will acquire skills in obligation mapping, reporting accuracy, supervisory engagement, and remediation that strengthen regulatory relationships and reduce risk. Gentex Training Center designs the programme to help professionals handle regulatory work with confidence.

FAQs





Q1 What is the "Compliance Regulatory Professionals" course about?

It builds the working skills regulatory and compliance professionals need to manage obligations and relationships with regulators. The course spans the regulatory landscape and supervisory authorities, obligation identification and interpretation, regulatory reporting and filings, licensing, approvals and regulatory change, and engagement, enforcement and remediation.

Q2 What are the key benefits of the "Compliance Regulatory Professionals" course?

You gain a practical method for regulatory work that links what regulators require with demonstrable compliance. The course improves obligation interpretation and mapping, strengthens reporting accuracy and data quality, sharpens supervisory engagement and change handling, and gives you remediation discipline that strengthens the regulator relationship.

Q3 What skills will I gain from the "Compliance Regulatory Professionals" course?

You will develop four core skills: regulatory obligation identification and interpretation with register building, regulatory return and filing preparation with data assurance, supervisory engagement with information request and inspection handling, and regulatory change assessment with enforcement and remediation response.



Q4 What tools, methods, or standards are covered in the "Compliance Regulatory Professionals" course?

The course covers regulator types across prudential, conduct, market and sector supervisors, regulatory instruments including primary law, rules, guidance and codes, rules-based and principles-based supervisory approaches, the supervisory cycle and regulatory relationship lifecycle, governance and accountability expectations, regulator powers and information gathering and inspections, regulatory obligation registers, sources of obligation including statutes, directives, circulars and guidance, interpretation principles, obligation-to-control mapping and ownership assignment, proportionality and materiality assessment, regulatory returns and reporting frequency, data sourcing and validation and quality assurance, notifications and applications, deadlines and late submission handling and breach reporting, certification and sign-off and accountability for returns, regulator feedback and queries and data reconciliation, licensing and authorisation criteria, applications and variations and approved persons regimes, regulatory horizon scanning and change monitoring, impact assessment of new rules, licensing, authorisation and approval processes, supervisory meetings and interviews and inspection preparation, handling findings and observations and supervisory letters, enforcement and sanctions and settlement considerations, remediation planning and ownership and evidence of completion, board and audit committee reporting on regulatory matters, and regulatory relationship management.

Q5 How is the "Compliance Regulatory Professionals" course applied in real-world practice?

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Participants apply it to real work such as building a regulatory obligation register, preparing and certifying a regulatory return, completing a licensing application, assessing the impact of a new rule on controls, responding to a regulator's information request, and preparing a remediation plan for supervisory findings. The same methods support inspection preparation and board reporting.

