

ETHICS, GOVERNANCE AND REGULATION IN TREASURY



GENTEX[®]
TRAINING CENTER



Introduction

Ethics, Governance and Regulation in Treasury Training Course prepares treasury professionals to operate with integrity inside a controlled, regulated environment. Participants work through the treasury mandate and governance structures, treasury ethics and conduct standards, delegations, limits, and segregation of duties, regulatory frameworks covering market conduct and financial crime, treasury dealing practice and conflict of interest management, and treasury control, monitoring, and reporting obligations as one connected discipline. The programme links the authority a treasury function holds with the ethics, governance, and regulatory discipline that keeps its dealing legitimate. As a result, learners gain a practical command of treasury ethics and governance. Furthermore, the course strengthens ethical judgement, control discipline, and regulatory literacy.

Ethics, Governance and Regulation in Treasury Course Objectives

- Explain the treasury mandate, governance structures, and accountability.
- Apply treasury ethics, conduct standards, and professional codes.
- Apply dealing delegations, limits, and segregation of duties.
- Apply market conduct rules and benchmark regulation.
- Apply anti-money laundering, sanctions, and financial crime controls.
- Apply conflict of interest management in treasury dealing.
- Apply Treasury Management Systems (TMS) controls and dealing platforms.
- Apply hedging policy compliance and approved instrument controls.
- Apply regulatory reporting, disclosure, and supervisory interaction.
- Apply treasury control monitoring, audit, and governance reporting.

Course Methodology



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- Interactive sessions built on treasury ethics and governance cases.
- Workshops on delegations, limits, conduct rules, and control design.
- Group exercises on conflict cases, dealing scenarios, and reporting.
- Hands-on practice with dealing mandates, limit schedules, and control logs.
- Simulation of a treasury governance review and a supervisory enquiry.
- Facilitator coaching and peer review on personal treasury governance plans.

Who Should Take This Course

- Treasury managers, dealers, and treasury analysts.
- Finance controllers and cash management professionals.
- Compliance, risk, and financial crime officers.
- Internal auditors covering treasury operations.
- Chief financial officers and treasury governance officers.
- Consultants advising on treasury governance and controls.

Ethics, Governance and Regulation in Treasury Course Outlines

Day 1: Treasury Mandate and Governance

- The treasury mandate, scope, and accountability lines.
- Governance structures, treasury committees, and policy framework.
- Delegations of authority and dealer mandates.
- Treasury policy architecture and documentation.
- Roles, independence, and the three lines model in treasury.
- Common treasury governance failures and warning signs.



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- Case discussion: a dealer operating outside every delegated limit.

Day 2: Treasury Ethics and Conduct

- Treasury ethics, integrity, and professional codes of conduct.
- Ethical dilemmas in treasury dealing and funding decisions.
- Conflicts of interest: identification and management.
- Gifts, hospitality, and inducement management.
- Market abuse, insider dealing, and information barriers.
- Whistleblowing and speak-up in treasury functions.
- Workshop: analysing an ethical dilemma in treasury dealing.

Day 3: Regulation and Financial Crime Controls

- Regulatory frameworks for treasury and financial markets.
- Market conduct rules and benchmark regulation (LIBOR transition lessons).
- Anti-money laundering (AML) and counter-terrorist financing controls.
- Sanctions screening, embargoes, and payment controls.
- Financial crime risk assessment and customer due diligence.
- Regulatory reporting, disclosure, and supervisory engagement.
- Exercise: mapping regulatory obligations to treasury processes.

Day 4: Controls, Limits, and Dealing Practice

- Limit frameworks, stop-loss, and threshold setting.
- Segregation of duties between dealing, confirmation, and settlement.
- Deal capture, confirmation, and reconciliation controls.
- Treasury Management System (TMS) controls and access management.



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- Approved instruments, hedging policy compliance, and mandate adherence.
- Valuation, counterparty limits, and credit controls.
- Simulation: reviewing a dealing operation against control requirements.

Day 5: Monitoring, Audit, and Governance Reporting

- Treasury control monitoring and testing practice.
- Internal audit over treasury dealing and decision-making.
- Breach handling, escalation, and remediation.
- Treasury performance metrics and governance reporting.
- Regulatory enquiry handling and evidence preparation.
- Continuous improvement and treasury governance maturity.
- Capstone: presenting a treasury ethics, governance and regulation framework.

Conclusion

By successfully completing Ethics, Governance and Regulation in Treasury, participants will gain a practical command of treasury mandate and governance, treasury ethics and conduct standards, dealing delegations and control design, regulatory and financial crime frameworks, and control monitoring, audit and governance reporting. They will acquire skills in governance design, ethical judgement, control design, and regulatory compliance that keep treasury dealing legitimate and defensible. Gentex Training Center designs the programme to help professionals run treasury with integrity and confidence.

FAQs for the Ethics, Governance and Regulation in Treasury course





Q1 What is the "Ethics, Governance and Regulation in Treasury" course about?

It prepares treasury professionals to operate with integrity inside a controlled, regulated environment. The course spans treasury mandate and governance, treasury ethics and conduct, regulation and financial crime controls, controls, limits and dealing practice, and monitoring, audit and governance reporting.

Q2 What are the key benefits of the "Ethics, Governance and Regulation in Treasury" course?

You gain a practical command of treasury ethics and governance that links the authority a treasury function holds with the ethics, governance, and regulatory discipline that keeps its dealing legitimate. The course improves delegations and limit design, strengthens ethical and conflict judgement, sharpens financial crime and regulatory controls, and gives you monitoring and reporting practice that stands up to audit and supervisors.

Q3 What skills will I gain from the "Ethics, Governance and Regulation in Treasury" course?

You will develop four core skills: treasury mandate and governance structure application, treasury ethics and conflict of interest management, regulatory and financial crime control design, and treasury control monitoring with audit and governance reporting.



Q4 What tools, methods, or standards are covered in the "Ethics, Governance and Regulation in Treasury" course?

The course covers the treasury mandate, scope and accountability lines, governance structures, treasury committees and policy framework, delegations of authority and dealer mandates, treasury policy architecture and documentation, roles, independence and the three lines model in treasury, treasury ethics, integrity and professional codes of conduct, ethical dilemmas in treasury dealing and funding decisions, conflicts of interest identification and management, gifts, hospitality and inducement management, market abuse, insider dealing and information barriers, whistleblowing and speak-up in treasury, regulatory frameworks for treasury and financial markets, market conduct rules and benchmark regulation including LIBOR transition lessons, anti-money laundering (AML) and counter-terrorist financing controls, sanctions screening, embargoes and payment controls, financial crime risk assessment and customer due diligence, regulatory reporting, disclosure and supervisory engagement, limit frameworks, stop-loss and threshold setting, segregation of duties between dealing, confirmation and settlement, deal capture, confirmation and reconciliation controls, Treasury Management System (TMS) controls and access management, approved instruments, hedging policy compliance and mandate adherence, valuation, counterparty limits and credit controls, treasury control monitoring and testing practice, internal audit over treasury dealing and decision-making, breach handling, escalation and remediation, treasury performance metrics and governance reporting, regulatory enquiry handling and evidence preparation, and continuous improvement and treasury governance maturity.



Q5 How is the "Ethics, Governance and Regulation in Treasury" course applied in real-world practice?

Participants apply it to real work such as setting dealing delegations and limit schedules, analysing an ethical dilemma in treasury dealing, mapping regulatory obligations to treasury processes, testing segregation of duties between dealing and settlement, reviewing a dealing operation against control requirements, handling a limit breach and escalation, preparing evidence for a supervisory enquiry, and presenting a treasury governance framework. The same methods support internal audit over treasury and governance maturity improvement.