REGULATORY COMPLIANCE IN FINANCIAL SERVICES

Toronto - Canada
02 - Nov 2026 - 06 - Nov 2026
$8,000

GENTEX®
TRAINING CENTER

GENTEX Training Center LLC | Orlando - FL, USA
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Introduction

The financial services industry operates within a complex web of regulations. Navigating these ever-changing rules and maintaining compliance is crucial for all financial institutions. This intensive five-day course, offered by Gentex Training Center, equips participants with the knowledge and skills needed to navigate the regulatory landscape of financial services. Through interactive workshops, engaging case studies, and real-world scenarios, you'll gain a comprehensive understanding of key regulatory principles, explore core regulations impacting financial institutions, and develop practical strategies for ensuring compliance. By the program's conclusion, you'll be empowered to contribute to a culture of regulatory compliance within your organization and mitigate potential risks.

Regulatory Compliance in Financial Services Course Objectives:

- Master the core principles of regulatory compliance in the financial services industry.
- Develop a strong understanding of key regulatory bodies and their governing frameworks.
- Explore key regulations impacting financial institutions, including Anti-Money Laundering (AML), Know Your Customer (KYC), Consumer Protection, and Capital Adequacy.
- Learn best practices for implementing and maintaining effective compliance programs.
- Gain insights into identifying, assessing, and mitigating regulatory risks.
- Analyze real-world case studies of successful and unsuccessful approaches to regulatory compliance.
- Formulate a well-informed strategy to develop and implement a robust compliance program within your organization.

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Course Methodology

This interactive program utilizes a participant-centered approach. It blends lectures from leading regulatory compliance experts with engaging workshops, group discussions, case study analysis, simulations of real-world regulatory challenges, developing and presenting compliance program enhancements, and opportunities to explore practical compliance tools. Participants actively engage in analyzing regulations, debating best practices for risk management, and formulating strategies for meeting regulatory requirements. Through experiential learning, participants gain the practical tools and theoretical knowledge needed to become valuable contributors to their organization's regulatory compliance efforts.

Who Should Take This Course

- Compliance officers, risk management professionals, and internal auditors seeking to enhance their knowledge and skills in financial services regulations.

- Financial services professionals, including bankers, investment advisors, and insurance brokers, responsible for understanding and adhering to relevant regulations.

- Legal professionals working with financial institutions on regulatory compliance matters.

- Business leaders and managers within financial institutions seeking a comprehensive overview of key regulations.

- Anyone interested in developing the knowledge and skills needed to navigate the complexities of regulatory compliance in the financial services industry and contribute to a more secure and stable financial system.

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Regulatory Compliance in Financial Services Course Outline:

Day 1: The Regulatory Landscape: Navigating the Regulatory Framework

- Understanding the Importance of Regulatory Compliance in Financial Services
- Exploring Key Regulatory Bodies:Federal Deposit Insurance Corporation (FDIC), Securities and Exchange Commission (SEC), Financial Industry Regulatory Authority (FINRA)
- Examining Core Regulatory Principles and Philosophies

Day 2: Combating Financial Crime: Anti-Money Laundering (AML) and Know Your Customer (KYC)

- Delving into the Requirements of Anti-Money Laundering (AML) Regulations
- Exploring Customer Identification and Verification Procedures under Know Your Customer (KYC) Rules
- Implementing Effective AML/KYC Compliance Programs

Day 3: Protecting Consumers: Consumer Protection Regulations in Financial Services

- Understanding Key Consumer Protection Regulations: Fair Lending Practices, Fair Credit Reporting Act (FCRA), Gramm-Leach-Bliley Act (GLBA)
- Exploring Strategies for Ensuring Fair and Transparent Consumer Interactions
- Addressing Consumer Complaints and Regulatory Enforcement Actions

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Day 4: Mitigating Risk: Capital Adequacy, Risk Management, and Regulatory Reporting

- Understanding Capital Adequacy Requirements and their Importance in Financial Stability
- Developing Effective Risk Management Frameworks for Regulatory Compliance
- Exploring Regulatory Reporting Requirements and Deadlines

Day 5: Building a Culture of Compliance: Leadership, Communication, and Continuous Improvement

- Analyzing Real-World Case Studies of Successful and Unsuccessful Approaches to Regulatory Compliance
- Discussing the Importance of Leadership Commitment and Building a Culture of Compliance Within Your Organization
- Formulating a Personalized Action Plan to Develop and Implement a Robust Compliance Program

Conclusion

By successfully completing this comprehensive program offered by Gentex Training Center, participants gain a valuable toolkit for navigating the ever-evolving regulatory landscape of financial services. They will be equipped to identify and manage regulatory risks, develop and implement effective compliance programs, and contribute to a more secure and compliant financial environment.

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