

Creating a Culture of Compliance

Course Details

Price

£215.00

Length

Half day (09:30-12:30)

Course Overview

Rules aren't enough to ensure compliance with regulations. This course provides a practical introduction to the steps that every regulated firm needs to take in order to create, build and sustain a culture of compliance.

This course will be of particular interest to directors, managers or compliance staff concerned with establishing or improving his or her firm's compliance culture.

Content

This course covers the following topics:

- What do we mean by a culture of compliance?
- Ethics and compliance
- Why it's important
- The benefits

- Recognising your firm's culture
- Risk assessing your firm
- What factors influence culture?
- How employees learn
- Practical steps for building a culture of compliance

Benefits

In attending this course you will:

- Understand the importance of culture in achieving compliance
- Be familiar with the main factors influencing culture
- Be equipped with practical steps for building a culture of compliance and recognising where it is needed

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 244570.

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

Sharon Alvarez

Sharon Alvarez is a Director of Resolve Partners Ltd. Prior to setting up Resolve Sharon was a Director of a large Guernsey fund administrator. She held the position of Group Head of Risk and Compliance with responsibility for Guernsey, London, Luxembourg and Jersey compliance, governance and risk management. She is a qualified accountant and Chartered Secretary. Sharon has over 30 years' experience of accounting, administration and compliance/governance including many years at board level on companies in multiple jurisdictions (including regulated General Partner boards). She has significant experience in leading licensed entities through complex and problematic situations including GP/Advisor divorce, mediation, regulatory issues and regulator onsite inspections

including PRISM. Sharon enjoys all aspects of compliance, governance, company secretarial and risk management and since setting up Resolve has worked with clients from the fiduciary, fund, banking and insurance sectors.