QUEST
Professional Center

PROFESSIONAL TRAINING COURSE

Course No. 1426

Investment Banking Compliance, Regulation & Governance Training Course

INVESTMENT BANKING & CAPITAL MARKETS
FINANCE, INVESTMENT & BANKING

DURATION
5 Days

DELIVERY
Classroom

Course Overview

The Investment Banking Compliance, Regulation & Governance Training Course provides a comprehensive and practical understanding of the regulatory, compliance, and governance frameworks that shape modern investment banking activities. Investment banking operates within a highly regulated environment involving capital markets, securities transactions, mergers and acquisitions, financial advisory, underwriting, fundraising, and institutional client relationships. Effective compliance and governance are therefore essential to maintaining market integrity, protecting stakeholders, managing regulatory exposure, and supporting sustainable organizational performance.

This professional training course examines the relationship between compliance, corporate governance, risk management, internal controls, legal requirements, and business operations. Participants will explore how regulatory requirements can be translated into practical policies, procedures, monitoring mechanisms, and control frameworks that support responsible decision-making and effective management oversight. Particular attention is given to accountability, segregation of duties, escalation processes, documentation, and the coordination of business and control functions.

The course addresses critical compliance challenges within investment banking, including conflicts of interest, confidential and restricted information, material non-public information, employee personal trading, market conduct, disclosure requirements, financial crime risks, sanctions, customer due diligence, regulatory reporting, and the management of compliance breaches. It also considers the importance of maintaining effective information barriers and ensuring that investment banking professionals operate within clearly defined ethical and regulatory boundaries.

Through case studies, practical exercises, risk assessments, control design workshops, and compliance scenarios, the Investment Banking Compliance, Regulation & Governance Training Course enables participants to assess the effectiveness of existing frameworks and identify opportunities for improvement. The program is designed to support stronger governance, more effective regulatory risk management, enhanced compliance performance, and greater organizational readiness in a complex investment banking environment.

Objectives

- Analyze the regulatory and governance environment governing investment banking activities within the context of the course.
- Evaluate key compliance risks associated with capital markets activities, investment banking transactions, and financial advisory services.
- Develop practical methods for identifying, assessing, and mitigating regulatory and conduct risks across investment banking operations.
- Apply effective controls for managing conflicts of interest, confidential information, and restricted information.
- Assess the regulatory implications of material non-public information and employee personal trading activities.
- Design governance and compliance mechanisms that clearly define accountability, responsibilities, and escalation lines.
- Strengthen compliance monitoring, testing, documentation, reporting, and regulatory issue management practices.
- Evaluate the effectiveness of internal controls and compliance frameworks using risk-based assessment techniques.
- Implement appropriate responses to compliance breaches, suspected misconduct, control deficiencies, and regulatory concerns.
- Align investment banking compliance, governance, risk management, and business objectives to support sustainable performance.

Who Should Attend

This course is designed for professionals working in investment banks, financial institutions, capital markets organizations, brokerage firms, asset management companies, corporate finance functions, and financial advisory businesses. It is particularly relevant to Compliance Managers and Officers, Regulatory Compliance Specialists, Financial Crime Specialists, Risk Managers, Internal Control Professionals, Internal Auditors, Governance Officers, Legal and Regulatory Affairs Specialists, and professionals responsible for monitoring and managing investment banking activities.

The program is also highly relevant to Executives, Department Heads, Investment Banking Managers, Capital Markets Managers, Risk and Compliance Directors, Operations Managers, Legal

Counsel, Internal Audit Managers, Corporate Governance Professionals, and senior decision makers. Professionals involved in mergers and acquisitions, securities issuance, underwriting, fundraising, financial advisory, transaction execution, client relationship management, and investment product governance will also benefit from the course. The program may additionally serve professionals in government, regulatory, and supervisory organizations involved in financial sector oversight and institutional governance.

Learning Outcomes

- Explain the key regulatory, compliance, and governance principles relevant to investment banking.
- Identify and assess major compliance risks associated with investment banking products, transactions, clients, and processes.
- Analyze conflicts of interest and recommend appropriate mitigation and control measures.
- Apply effective controls for protecting confidential, restricted, and material non-public information.
- Evaluate employee conduct and personal trading risks within investment banking environments.
- Distinguish the roles and responsibilities of compliance, risk management, internal audit, legal, and business functions.
- Develop risk-based compliance controls suitable for investment banking processes and transaction activities.
- Analyze practical scenarios involving market conduct, regulatory breaches, disclosure failures, and governance weaknesses.
- Develop appropriate procedures for escalating, investigating, remediating, and reporting compliance incidents.
- Integrate governance, compliance, risk management, and internal controls into a coordinated operating framework.
- Improve the quality of compliance documentation, regulatory reporting, management information, and audit trails.
- Prepare a practical action plan for strengthening investment banking compliance, regulation, and governance within the organization.

Course Outline

DAY 01

Investment Banking Regulatory Environment, Compliance & Governance Foundations

- Nature and structure of investment banking activities and business models
- Regulatory environment affecting investment banks, financial institutions, and capital markets
- Core principles of investment banking compliance and regulatory accountability
- Corporate governance structures, roles, responsibilities, and lines of accountability
- Relationship between business management, compliance, risk management, internal audit, and legal functions
- Risk-based approaches to regulatory compliance and governance

PRACTICAL APPLICATION

Mapping regulatory responsibilities, governance risks, and control ownership within an investment banking organization

DAY 02

Investment Banking Compliance Risks, Conflicts of Interest & Market Conduct

- Compliance considerations in mergers and acquisitions, securities issuance, underwriting, and financial advisory activities
- Client onboarding, customer due diligence, suitability, appropriateness, and client classification
- Conflicts of interest in investment banking and practical mitigation strategies
- Information barriers, restricted lists, watch lists, and sensitive information controls
- Material non-public information and insider dealing risks
- Employee personal trading and conduct controls
- Market conduct, ethical standards, and professional accountability

DAY 02 — CONTINUED

> **PRACTICAL APPLICATION**
> Analyzing a case involving conflicts of interest, sensitive information, and potential market conduct violations

DAY 03

Governance, Internal Controls & Compliance Monitoring

- Designing effective governance frameworks for investment banking organizations
- Roles and responsibilities across business, compliance, risk, audit, and legal functions
- Compliance policies, procedures, standards, and documentation requirements
- Compliance monitoring, testing, surveillance, and thematic reviews
- Compliance risk indicators, management information, and escalation mechanisms
- Transaction controls, approvals, segregation of duties, and authorization frameworks
- Control design, control testing, and remediation of identified weaknesses

> **PRACTICAL APPLICATION**
> Developing a risk-based compliance control matrix for an investment banking process

DAY 04

Financial Crime, Regulatory Breaches & Regulatory Response

- Money laundering and financial crime risks in investment banking
- Know Your Customer, customer due diligence, enhanced due diligence, and ongoing monitoring
- Sanctions, prohibited transactions, suspicious activities, and escalation procedures
- Market manipulation, insider dealing, improper disclosure, and market integrity risks
- Compliance incidents, regulatory breaches, investigations, and remediation
- Regulatory reporting, record keeping, evidence management, and audit trails
- Incident escalation, root cause analysis, corrective actions, and management reporting

DAY 04 — CONTINUED

> **PRACTICAL APPLICATION**
> Managing a simulated compliance incident from detection and investigation through escalation, remediation, and reporting

DAY 05

Advanced Compliance Governance, Effectiveness & Implementation

- Measuring the effectiveness and maturity of investment banking compliance programs
- Governance culture, accountability, senior management oversight, and board-level reporting
- Integration of compliance, enterprise risk management, and internal controls
- Regulatory change management and organizational readiness
- Developing sustainable compliance improvement and remediation programs
- Executive compliance reporting and decision-support mechanisms
- Building an effective compliance culture across investment banking functions

> **FINAL WORKSHOP**
> Developing an Investment Banking Compliance, Regulation & Governance Action Plan covering priorities, controls, ownership, monitoring, reporting, and implementation milestones

Register or Request More Information

Course page: https://quest-training.com/courses/investment-banking-compliance-regulation-governance-training-course
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