QUEST
Professional Center

PROFESSIONAL TRAINING COURSE

Course No. 1045

Regulatory Compliance for Banks

COMPLIANCE, AML & FINANCIAL CRIME
FINANCE, INVESTMENT & BANKING

DURATION	DELIVERY
5 Days	**Classroom**
LOCATION	DATES
Doha, Qatar	**1 – 5 Feb 2027**

Scheduled Event Details

CITY	Doha, Qatar
DATE	1 – 5 Feb 2027
DELIVERY TYPE	Classroom
COURSE FEE	€4,400

Course Overview

Regulatory Compliance for Banks is a comprehensive professional training course designed to equip banking professionals with the knowledge, regulatory awareness, and practical skills required to establish, implement, and strengthen effective regulatory compliance frameworks within financial institutions. As banking regulations continue to evolve in response to financial innovation, digital transformation, global regulatory reforms, and increasing supervisory expectations, regulatory compliance has become a strategic function that protects institutions from legal, financial, operational, and reputational risks while supporting sustainable business growth.

This course provides participants with a structured understanding of the regulatory environment governing banks and financial institutions, emphasizing internationally recognized compliance principles, governance frameworks, and regulatory best practices. Participants will explore the responsibilities of compliance functions, regulatory obligations, risk-based compliance methodologies, supervisory expectations, internal controls, compliance monitoring, and regulatory reporting. The program demonstrates how Regulatory Compliance for Banks supports sound governance, enhances operational integrity, and strengthens stakeholder confidence.

The program also examines key regulatory compliance areas, including banking governance, Anti-Money Laundering (AML), Counter-Terrorist Financing (CTF), Know Your Customer (KYC), customer protection, conduct risk, operational resilience, data protection, sanctions compliance, prudential regulations, regulatory change management, and compliance assurance. Participants will gain practical knowledge of integrating compliance programs with Enterprise Risk Management, Internal Audit, Operational Risk Management, and corporate governance to establish a comprehensive compliance framework.

Through practical case studies, regulatory scenarios, and interactive workshops, participants will strengthen their ability to interpret regulatory requirements, conduct compliance risk assessments, develop effective compliance controls, prepare regulatory reports, and respond to supervisory examinations. By the end of the course, participants will be equipped to enhance compliance governance, improve regulatory readiness, strengthen organizational resilience, and support sustainable banking performance through effective Regulatory Compliance for Banks.

Objectives

- Analyze Regulatory Compliance for Banks principles and evaluate their implementation within banking and financial institutions by the end of the course.
- Develop comprehensive compliance frameworks aligned with international banking regulations, supervisory expectations, and organizational objectives.
- Evaluate regulatory obligations affecting banking operations, financial products, customer relationships, and operational processes.
- Apply risk-based compliance methodologies to strengthen regulatory compliance across banking activities.
- Design effective compliance policies, procedures, governance structures, and internal control frameworks that support regulatory compliance.
- Improve compliance monitoring, regulatory reporting, and management oversight through performance measurement and Key Risk Indicators (KRIs).
- Strengthen governance by defining compliance responsibilities, reporting structures, and board oversight mechanisms.
- Implement regulatory change management processes that ensure timely adoption of new regulatory requirements.
- Assess emerging compliance risks associated with digital banking, financial technology, artificial intelligence, cybersecurity, and data privacy regulations.
- Align Regulatory Compliance for Banks with Enterprise Risk Management, Operational Risk Management, Internal Audit, and corporate governance before course completion.

Who Should Attend

This course is designed for Compliance Managers, Regulatory Compliance Officers, Enterprise Risk Managers, Operational Risk Managers, Internal Audit Managers, Internal Control Managers, Governance Managers, Legal and Regulatory Affairs Managers, Banking Operations Managers, AML Managers, Financial Crime Risk Managers, Compliance Analysts, Risk Analysts, Policy and Procedure Specialists, Regulatory Reporting Professionals, and individuals responsible for regulatory compliance within banks and financial institutions.

The program is equally valuable for Chief Compliance Officers, Chief Risk Officers, Chief Audit Executives, Executive Management Teams, Board Risk Committee members, Audit Committee members, Legal Advisors, Treasury Managers, Digital Banking Managers, FinTech Compliance Professionals, Central Bank Professionals, Banking Supervisors, Financial Regulators, Insurance Companies, Investment Firms, Payment Service Providers, and senior executives responsible for governance, compliance, enterprise risk management, and strategic decision-making.

Learning Outcomes

- By the end of this course, participants will be able to:
- Develop an integrated Regulatory Compliance for Banks framework aligned with international banking standards and regulatory expectations.
- Identify, assess, and manage compliance risks affecting banking operations and financial services.
- Apply risk-based compliance methodologies to regulatory obligations, operational activities, and business processes.
- Design effective compliance policies, procedures, governance frameworks, and internal controls.
- Develop compliance monitoring programs using Key Risk Indicators (KRIs), dashboards, and performance metrics.
- Prepare executive compliance reports, regulatory submissions, and governance updates for senior management and regulatory authorities.
- Integrate Regulatory Compliance for Banks with Enterprise Risk Management, Operational Risk Management, Internal Audit, and Financial Crime Risk Management.
- Evaluate regulatory developments and implement effective regulatory change management processes.
- Assess emerging compliance risks associated with digital banking, financial technology, cybersecurity, artificial intelligence, and evolving supervisory expectations.
- Develop a practical implementation roadmap to strengthen Regulatory Compliance for Banks, improve governance, enhance regulatory readiness, support operational resilience, and achieve sustainable organizational performance.

Course Outline

DAY 01

Foundations of Regulatory Compliance for Banks

- Principles and objectives of banking regulatory compliance
- International banking regulatory frameworks and supervisory expectations
- Compliance governance and organizational responsibilities
- Risk-based compliance management methodology

> **PRACTICAL APPLICATION**
> Conducting a regulatory compliance assessment within a banking institution

DAY 02

Regulatory Requirements and Compliance Risk Management

- Banking laws, regulations, and supervisory obligations
- Compliance risk identification and assessment
- Regulatory obligation management
- Regulatory change management processes

> **PRACTICAL APPLICATION**
> Developing a comprehensive regulatory compliance register

DAY 03

Compliance Controls, Monitoring, and Reporting

- Compliance policies, procedures, and internal controls
- Compliance monitoring and testing methodologies
- Regulatory reporting and management information
- Key Risk Indicators (KRIs) and compliance performance measurement

DAY 03 — CONTINUED

PRACTICAL APPLICATION

Designing compliance monitoring programs and executive reporting dashboards

DAY 04

Governance, Assurance, and Emerging Regulatory Challenges

- Governance frameworks and board oversight
- Integration with Enterprise Risk Management and Internal Audit
- Regulatory compliance for AML, KYC, sanctions, customer protection, and operational resilience
- Emerging regulatory risks in digital banking, FinTech, cybersecurity, artificial intelligence, and data protection

PRACTICAL APPLICATION

Evaluating regulatory compliance effectiveness and recommending governance enhancements

DAY 05

Building a High-Performance Regulatory Compliance Framework

- Integrating Regulatory Compliance for Banks with strategic business objectives
- International best practices and evolving regulatory expectations
- Continuous improvement of compliance management systems
- Performance measurement, regulatory readiness, and executive oversight

FINAL WORKSHOP

Developing a comprehensive Regulatory Compliance for Banks implementation plan that includes regulatory obligation management, compliance risk assessments, policy development, governance enhancements, internal control improvements, compliance monitoring, regulatory reporting, change management, performance measurement, and continuous improvement initiatives to strengthen regulatory compliance, organizational resilience, governance effectiveness, and sustainable banking performance.

Register or Request More Information

Course page: https://quest-training.com/courses/regulatory-compliance-for-banks
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