

# Practical Compliance Officer Fundamentals

Financial Education Professionals presents a series of practical workshops specifically designed for financial services compliance professionals in Australia. Courses are for compliance professionals, within the context of Australian financial regulations.

The first of these is the Practical Compliance Officer Fundamentals. This course provides a practical introduction to the role and functions of a Compliance Officer in the Australian financial services industry.

The course is specifically designed for:

- Compliance professionals with less than 3 years experience in a financial services compliance role.
- Individuals in smaller financial services companies who bear compliance responsibilities, such as the COO, the Company Secretary, or the Legal Officer.

## Benefits

- ✓ Training conducted by an experienced compliance practitioner
- ✓ Learn through practical workshop exercises
- ✓ Come away with a series of checklists and sample documents you can use to improve the effectiveness of your compliance officer role
- ✓ Benchmark against financial services industry good practice
- ✓ Cost effective
- ✓ Share your experiences with other compliance professionals.

## Course format

This course is conducted as three (3) face-to-face workshops each of 3 hours, including practical exercises and checklists for on-the-job application.

## Content

The Australian Financial Services licence, authorisations, AFSL requirements, conflict of interest, training, compliance, risk management, Responsible Managers, breaches, retail requirements, the Compliance Standard AS3806, governance, compliance processes, range of compliance requirements, compliance policies, dealing with regulators, compliance culture and developing 'good practice'.

## 2010 Fee

\$1,045 (+ GST) per person; which includes workshops, course materials, case studies and practical checklists.

## 2010 Delivery details

### Dates

Session 1: Tuesday 11<sup>th</sup> May 2010

Session 2: Tuesday 18<sup>th</sup> May 2010

Session 3: Tuesday 25<sup>th</sup> May 2010

### Time

9.00 am to 12.00 noon

### Venue

Level 8, 20 Loftus Street

Sydney 2000

## Enrolment

Please complete and return the Registration Form below. *Places will be allocated on a "first come, first served" basis*

Financial Education Professionals Pty Ltd was established in 2001.

We focus on:

- » tailored course design and delivery in investment banking, investment management and financial markets
- » training for treasury operations and investment administration roles, and
- » initial training and continuing professional education for wholesale market participants to meet Australian Securities and Investments Commission's (ASIC's) licensing compliance requirements.

Financial Education Professionals is an ASIC Authorised Assessor for the purposes of RG 146 and RG 105 and is a Registered Training Organisation, accredited to offer programs and qualifications throughout Australia.

## Practical Compliance Officer Fundamentals: Registration Form

(Please print)

Applicant information				
Applicant's last name:	First name:	<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Miss <input type="checkbox"/> Ms	Email:	
Company name:	Business phone no.:	Mobile:		
( )				
Preferred address:			City:	State: Postcode:
Enrolment				
<input type="checkbox"/> I wish to enrol in "Practical Compliance Officer Fundamentals"				
Fee				
\$1,045 + GST = \$1,149.50				
Payment				
<input type="checkbox"/> I attach a cheque payable to Financial Education Professionals Pty Ltd; or <input type="checkbox"/> Please invoice my company. If requesting us to invoice your company, please complete the information below.				
Approving Manager				
First Name:		Last Name:		
Email:				
Title/Position:		Department/Division:		
Approving Manager's signature:				

### Please send completed form to:

Financial Education Professionals Pty Ltd: Level 8, 20 Loftus Street - Sydney NSW 2000  
 Fax: 02 9252 7437  
 Contact: Joan Street  
 Phone: 02 9252 7437  
 Email: jstreet@financialeducation.com.au