

Compliance Officer Fundamentals

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

Compliance Officer Fundamentals 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 Chief Operating Officer, the Company Secretary or the Legal Officer.

Benefits

- ✓ Training conducted by our 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 a 1.5 day intensive face-to-face workshop to enable easier attendance from all states. It includes 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'.

Fee

\$1,095 (+ GST) per person; which includes workshops, course materials, case studies and practical checklists

Delivery details

- Session 1: Thursday 14th October 2010
9.00 am to 12.00 pm and
1.00 pm to 4.00pm
- Session 2: Friday 15th October 2010
9.00 am to 12.00 pm

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 custody and 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.

Compliance Officer Fundamentals: Registration Form [all information is mandatory]

(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				
\$1,095 + GST = \$1,204.50				
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:

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