

ICA Certificate in Compliance Syllabus

Understanding the Regulatory Environment

- What is regulation?
- What is regulation designed to achieve?
- The history of financial services regulation
- Other factors that influence financial services regulation
- The objectives of financial services regulation
- Different parties involved in regulation

Regulation in Practice

- Approaches to, and models of, regulation
- Sources of regulation
- International legislation and best practice developments
- Regulators and their powers

Compliance in Practice

- The role of the Compliance department
- The role of the Compliance Officer
- The role of the Board
- Key compliance activities and processes
- Key compliance relationships

Other Key Compliance Areas

- Anti money laundering
- Financial crime prevention
- Market abuse
- Managing risk
- Enforcement