



GOVERNANCE, RISK AND COMPLIANCE IN CUSTOMER DUE DILIGENCE

10-11 May 2023

Armada Hotel Petaling Jaya – Malaysia



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INTRODUCTION

GRC emerged as a discipline in the early 21st century when companies recognized that coordinating the people, processes and technologies they used to manage governance, risk and compliance could benefit them in two ways. A synthesized approach would help ensure their organizations acted ethically. It would also help them achieve their goals by reducing the inefficiencies, miscommunications and other perils of a siloed approach to governance, risk and compliance.

Any size organization can use GRC. Developing a GRC discipline is especially important for large organizations that have extensive governance, risk management and compliance requirements and where programs to meet these requirements often overlap.

Customer Due Diligence (CDD) is the processes used by financial institutions to collect and evaluate relevant information about a customer or potential customer.

It aims to uncover any potential risk to the financial institution of doing business with a specific organisation or individual by analysing information from a variety of sources. These include:

- The customer themselves, who needs to provide certain information in order to do business with the financial institution
- Sanctions lists published by governments or territories
- Public data sources, such as company listings
- Private data sources from third parties

Customer Due Diligence is a major part of meeting **Know Your Customer (KYC)** standards. These vary greatly from country to country, or market to market.

These three activities traditionally functioned more or less separately. In a GRC approach, each of the three component programs continues to interact with and support existing business functions, but the intersection of the three is where the benefits become apparent.

BENEFITS OF ATTENDING

- Adopt an integrated approach toward GRC to support business strategy and sustainability
- Apply business practices that support long-term sustainability based on an understanding of the key principles of governance frameworks
- Improve business performance by implementing systems and structures that support effective risk management
- Formulate meaningful reports that promote compliance within your organisation
- Integrate and strategically align GRC through adopting effective method.

COURSE OUTLINE

DAY 1

Overview of governance, risk management and internal controls

- Definition of corporate governance
- The scope of corporate governance
- Essential corporate governance principles
- Code of conduct
- The audit committee
- Other committees

Stakeholders in Corporate Governance (CG)

- Stakeholders
- Shareholders rights
- Directors' duties and rights
- Internal auditors and external auditors
- Risk based decision making
- CG failure effects
- The efficient board

Functions of corporate governance

- Independence of the board
- Selection, remuneration and evaluation of the board
- Analyzing current company's CG system
- Disclosure and transparency

Introduction to compliance

- Definition of compliance
- Importance of compliance
- Practical examples of compliance
- Risks of compliance

Enterprise Risk Management

- Risk perception
- Why should we care about risk?
- Internal environment changes
- External environment changes

DAY 2

Risk management areas

- Strategic
- Operations
- Reporting
- Financial
- Health and safety

Risk management process

- Internal environment
- Objectives setting
- Event identification
- Risk assessment
- Risk response
- Control activities
- Information and communication
- Risk monitoring

DAY 2 CONTINUATION

Implementing controls in business cycles

- Controls in purchase and payment cycle
- Controls in inventory and costing cycle
- Controls in HR and payroll cycle
- Controls in sales and collection cycle
- Controls in fixed assets life cycle

Customer due diligence involving collecting information

- The identity of a customer – from their company address to the names of their individual executives
- The activities a customer is engaged in and markets in which they operate
- The other entities with which a customer does business
- The customer's risk profile – how likely they are to be involved in activities that expose the financial institutions to risk

The main risks that customer due diligence aims to mitigate

- money laundering
- terrorist financing
- fraud
- sanctions busting

WHO SHOULD ATTEND

This online training course is designed to deliver the knowledge and skills, providing details of the latest policies and procedures to:

- Executives and Board Members
- Internal Auditors
- Compliance Officers / Managers and their Deputies
- Governance Professionals
- Risk Managers
- GRC Professionals
- Legal Professionals
- Regulatory Representatives
- Company Secretaries
- IT Professionals dealing with governance, risk management and compliance
- Managers responsible for governance, risk management and compliance activities

METHODOLOGY

- Training will be conducted in both Bahasa Melayu and English
- Dynamic and highly engaging presentation
- Interactive, activity based and fun
- Attention-grabbing audio-visual aids, real scene photographs, video clips, multimedia presentation etc.

Dr Jude Selvaraj Joseph's diverse background and versatility in training both youth and adult learners enables him to tap on an abundance of experiences in sharing, connecting and engaging with individuals.

He is an International Dynamic Speaker, Certified and Accredited Master Trainer, Emotional Intelligence Relationship Coach, Consultant and Entrepreneur. He has acclaimed a lot of goodwill and accolades in the fields of education and corporate trainings both locally and internationally by his High Impact Sessions.

Backed by more than 25 years of corporate exposure and experience, Dr Jude Selvaraj Joseph has worked with several organisations namely The Asian Institute of Chartered Bankers (formerly known as Institute of Bankers, Malaysia), Perak Branch, Kolej Syuen, Ipoh and Scania - Southeast Asia, Shah Alam holding senior positions in the areas of education, coaching, training and development, hospitality, logistics, supply chain, warehousing etc. whilst pursuing his passion in education, training and development.

Dr Jude Selvaraj Joseph possesses an Industrial Doctorate in Business Administration and a double Masters in Business Administration & Management majoring in Human Resource Management and Logistics and Supply Chain Management.

Dr Jude Selvaraj belongs to the new era of trainers in excellence:

- ❖Chartered Member of The Institute of Logistics and Transport Malaysia (CMILT)
- ❖Master Trainer in Learning & Development from the European International University, Paris;
- ❖Certified Professional Master Trainer from the International Accreditation Organization (IAO), USA & Institute of Quality Malaysia (IQM) for ISO 17024:2012 Professional Programs on Competency;
- ❖Human Resource Development Corporation (HRDC) Certified Accredited Trainer, Malaysia;
- ❖Certified Trainer (Associate) in Training and Development from the Cambridge Association of Managers, United Kingdom;
- ❖Certified Master Practitioner of Neuro-Linguistic Programming, Time Line Therapy Association & The American Board of NLP
- ❖Certified Master Practitioner of Time Line Therapy, Time Line Therapy Association & The American Board of NLP
- ❖Certified Master NLP Coach, Time Line Therapy Association & The American Board of NLP
- ❖Certified Master Hypnotherapist, Time Line Therapy Association, The American Board of NLP & International Association of Counsellors & Therapist (IACT)
- ❖Certified Beyond Success Facilitator – Dr John C. Maxwell (EQUIP)
- ❖Certified Trainer & Assessor in Technical & Vocational Education & Training (TVET) from Melbourne Polytechnic, Australia
- ❖Certified 6S Lead Auditor
- ❖Certified Professional in Lean Six Sigma Improvement Tool – Failure Mode Effect Analysis (FMEA)
- ❖Certified Professional in Quality Management Tool – 7QC Basic Tools

DELEGATE REGISTRATION FORM



Delegates

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Job Title _____
Telephone _____
Mobile _____
E-mail _____

Name _____
Job Title _____
Telephone _____
Mobile _____
E-mail _____

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Job Title _____
Telephone _____
Mobile _____
E-mail _____

Organization

Name _____
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Authorization (This form is invalid without a signature)

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Email: wendy@nashbs.com

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Payment is required within 7 days upon receipt of the invoice.

NASH BUSINESS SOLUTIONS Sdn Bhd (1068674-V)

Standard Chartered

Account No: **794194740755**

SWIFT Code: **SCBLMYKXXXX**

All payment must be received prior to the event date

Confirmation details

Joining details confirming your participation will be sent, once a registration has been received. After receiving payment, a receipt will be issued.

Cancellations/Substitutions

Substitutions are welcome at any time. Please notify us at least 2 working days prior to the event. All cancellations will carry a 10% cancellation fee, once a registration form is received. All cancellations must be in writing by fax or e-mail at least 3 weeks before the event date. Cancellations with less than 3 weeks prior to the event date carry a 100% liability. However, course materials will still be couriered to you.

Note: The investment fee does not include any taxes (withholding or otherwise). In case of any taxes applicable the client has to ensure that the taxes are paid on top of the investment fee paid for the course. Compliance with the local tax laws is the responsibility of the client.

TRAINING SCHEDULE

08.30 --- Registration & Morning Coffee
09.00 --- Training Starts
10.45 --- Morning Coffee Break
11.00 --- Training Resumes
13.00 --- Lunch
14.00 --- Training Resumes
15.45 --- Afternoon Coffee Break
16.00 --- Training Resumes
17.00 --- Training Ends

Course	Regular Fee (per Delegate)	Group Fee: 3 or more pax (per Delegate)
Governance, Risk and Compliance in Customer Due Diligence 10-11 May 2023, Armada Hotel Petaling Jaya - Malaysia	RM2,995	RM2,795