



AFB TRAINING: CONDUCT & CULTURE FOR COMPLIANCE OFFICERS

TUESDAY 7 OCTOBER 2025

AN AFB TRAINING COURSE DESIGNED FOR COMPLIANCE OFFICERS

Conduct and culture have never been more important in financial services, with an increasingly competitive environment both in the UK and internationally and the need to maintain trust in regulated banks/firms. This one-day workshop has been specifically designed for Compliance Officers of international banks to help them better understand how to meet the cultural expectations of the UK regulators without supplanting the parent company's culture; the conduct risks their firm are exposed to, how to measure them, and how to deploy strategies to mitigate and address these risks. This is an exclusive course for members, delivered in partnership with **CCL Academy** under the Chatham House Rule.

COURSE OVERVIEW

This one-day course is designed to build an understanding of conduct risk and how it relates to culture, deep dive into the approach and metrics required to measure conduct risk and provide methods and tools that can influence and change behaviour.

Topics covered include:

- The concept of a positive workplace culture
- How to embed a positive culture
- How to meet the cultural expectations of UK regulators without supplanting the parent company's culture
- Diversity, inclusion and non-financial misconduct and their role in a bank's culture
- Practical exercises covering the measurement and monitoring of culture, including example metrics
- The role of Compliance Officers in the promotion of a positive culture
- How to constructively challenge senior executive colleagues
- The role of whistleblowing in a positive workplace culture
- Good practice and common challenges and how to overcome these

LEARNING OUTCOMES

By the end of this programme, delegates will be able to:

- Explain the meaning of a positive culture in banking
- Describe its importance to banks, regulators and customers
- Explain UK requirements to colleagues in other jurisdictions
- Review the culture of their banks
- Understand how to promote cultural change in their own banks
- Pose cultural challenges appropriate to their role
- Build awareness of conduct risk (intentional and unintentional) and how it relates to culture
- Explore the Conduct Risk framework, and best practice approach to conduct risk measurement (as well as the common pitfalls)
- Apply tools and methods applicable to your unique organisational challenges

AFB TRAINING PARTNER – CCL ACADEMY



CCL Academy is a specialist compliance training provider, offering the full spectrum of learning options, from eLearning and OnDemand training to live instructor led training and CPD Programmes. Our

holistic, tailored approach allows us to meet the unique needs of Financial Services firms across the UK and MEA regions.

Our trainers are accomplished subject matter experts who bring a wealth of real-world industry and practitioner experience, combined with strong credentials in adult learning. They are not only knowledgeable, but also passionate educators who are deeply committed to delivering impactful training. Their engaging, practical approach ensures participants gain valuable insights and skills that can be immediately applied in their day-to-day roles.

FACILITATORS

Peter Haines, Director of Training

Peter has over 35 years' experience in the field of regulation and compliance. A chartered accountant, Peter spent 6 years working with the UK's SFA (now the FCA) and has headed up regional and global compliance functions at Paribas, UBS Investment Bank and Bank of America.

Since 2006, Peter has specialised in training, focusing on boards, senior management and assisting the next generation of compliance officers. His coverage includes most areas of compliance and financial crime, corporate governance and risk management. His style is inclusive, interactive and based on practicalities, not just rules.



LOGISTICS AND BOOKING INFORMATION

Venue: In-person, One America Square, 17 Crosswall, London EC3N 2LB

Date: Tuesday 7 October 2025

Time: 09:00 – 17:00 (Registration and light refreshments from 08:30. Lunch 12:30 – 13:30).

Price: £650 plus VAT (breakfast, snacks and drinks will be provided throughout the day with buffet lunch). Course limited to 20 participants

For further information, contact amanda.keegan@foreignbanks.org.uk

BOOK YOUR PLACE