

Compliance, Conduct and Culture: Building an Effective Framework

A virtual classroom organised by



5 and 6 October 2023



EURONEXT
CORPORATE SERVICES

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Academy – Euronext Group

At Academy we aim at sharing **capital markets expertise** by turning it into world-class training courses and programmes.

Our programmes reflect the evolution and trends of **financial markets and their eco-systems**.

Key assets of our learning centre are our centrality in capital markets, and our **internal and external faculty**, whose contributors are drawn from practitioners, academics, advisors and financial market specialists.

As an Exchange system, being at the centre of financial markets, we understand not just what happens now, but also what's changing - so we can design our courses to equip you for the world of today and tomorrow.

An accredited Management System Certificate

Academy meets the management system standards UNI EN ISO 9001:2015, sector EA:37 since 2007.

The accreditation guarantees internationally recognised quality service standards and allows companies to apply for public funding to finance individual and company training projects.





Upcoming courses

Driving Corporate Sustainability Transformation

13 April to 13 July 2023, online certification course

Integrating ESG risks in enterprise risk framework

19 and 20 April 2023, virtual classroom

Check our courses calendar [here](#).

Programme overview

Background

This interactive course delves into the crucial area for the firms, their boards and regulators. 3Cs: Compliance, Conduct and Culture provides a succinct overview of regulatory expectations and focusses on the practical aspects of developing an effective 3C control framework. Live virtual sessions guide participants on how to define an effective conduct risk framework, evaluate organisational risk culture and understand the implications of failures on the firm's reputation. The course also features a workshop that explores new and horizon risks that impact compliance, conduct and culture.

With the increased regulatory scrutiny and cost of non-compliance, this is a highly valuable and mandatory course for all risk, control and compliance professionals and those responsible for implementing control frameworks in their organisations. The sessions are packed with practical tips and hints and guide participants towards implementing processes that add value to the workplace. Each session ends with Make A Difference discussion, where attendees share their take-aways that will make a real difference to their organization. All sessions have been designed to facilitate communication and interaction between participants and the course leader, **Elena Pykhova**.

Benefits of attending

- Understand practical ways of measuring and embedding risk culture
- Examine new and horizon risks impacting compliance, conduct and culture
- Find meaningful ways to carry out conduct risk assessment
- Discuss how to enhance compliance practices in hybrid working environment
- Create conduct and culture dashboard
- Perform Reputational risk assessment
- Consider how employees across the 3 Lines can work effectively to add value
- Review case studies and engage via live polls
- Interact with fellow practitioners, benchmark the maturity of your framework with peers
- Develop a plan on how you will make a difference to your workplace following the course

The virtual live course will be complemented with group works and Pools.

Who should attend

This is an essential course for risk, control and compliance personnel and for all individuals responsible for implementing and managing control frameworks in their organisations; or those interested to stay current and improve their practices, including:

- Operational and Enterprise Risk practitioners

- Compliance
- Governance and Control
- Audit
- Directors and senior executives
- Individuals responsible for implementing control frameworks or interested to expand their knowledge

Course Tutor

Elena Pykhova is a risk expert specializing in strategy, design and implementation of firm-wide risk frameworks, based in London, UK. She is a renowned educator, who for many years has run public and in-house training courses in the UK and internationally for world-leading organisations including the London Stock Exchange Group Academy, The Moller Center, Cambridge University and Risk.net. Elena is also a thought leader, influencer and founder of a prominent industry think tank, the Best Practice Operational Risk Forum. She is a former Director for Education at the Institute of Operational Risk and chair of the Operational Risk Expert Panel for the Association of Foreign Banks. Elena founded her training and consulting practice, The OpRisk Company Ltd, after 20 years of experience in senior roles at Fortune 500 companies, such as Citigroup, American Express, Deutsche Bank and Banco Santander.

She is an author of a best-selling book, *Operational Risk Management in Financial Services: A Practical Guide to Establishing Effective Solutions*, contributor to Thompson Reuters, Advantage Talent Inc, Risk & Compliance Platform Europe and other news publications.

Methodology

Learning tools

The workshop will take place on the Zoom platform.

Learning material

The course material will be provided to the delegates in pdf format the day after the course has taken place.

Certificate of attendance

The certificate of attendance will be sent in digital format after the end of the course.

Course Agenda

Compliance, Conduct and Culture: Building an Effective Framework

Day 1

9:30am – 1:00pm CET

9.30

Introduction

- Welcome and introductions
- Course expectations

9.45

Understanding, measuring and embedding risk culture

- Risk Culture: a key topic of interest for financial services firms
- Risk culture assessment: 5 Aspects model
- Embedding risk culture: practical steps
- Group discussion: assessing and embedding risk culture

10.45

Establishing effective Conduct Risk framework

- Defining Conduct risk
- Understanding regulatory expectations
- Integrating conduct risk into the enterprise risk taxonomy
- Establishing a framework for identifying and managing conduct risks

- Example: Conduct and Culture dashboard

11.45 Break

12.00

Role of the 3 Lines (formerly of Defence)

- 3 lines: Understanding roles and responsibilities
- First line risk champions and second line multipliers of risk management
- The importance of Risk Conversations
- Role of Internal Audit and industry best practice in auditing risk culture
- Effective 3L model: functioning together to add value to the organisation

13.00

End of day one

Day 2

9:30am – 1:00 pm CET

9.30

Enhancing Compliance practices in hybrid working environment

- Significance of people risk during and post-pandemic
- Challenges from changing working practices and hybrid working models
- Maintaining high levels of supervision in hybrid models
- Defining and integrating people risk into enterprise risk framework
- Role of 2nd Line Risk and Compliance teams in maintaining high standards

10.30

Managing Reputational risk

- Reputation: treated as an impact or as an asset?
- Identifying stakeholders and evaluating the impact
- Measuring reputational risk
- Example reputational risk assessment
- Group discussion: exchange of good practices

11.30 Break

11.45

Horizon Scanning for Emerging risks impacting firms' compliance, conduct and culture

- Introduction to emerging risks
- Guidance on how to define the horizon scanning process
- Role of scenario analysis and their effective application
- Examples and discussion: emerging risks financial services firms should have on their radar
- New manifestations of Conduct risk
- Adoption of AI and management of bias
- Third-party risk
- Data privacy

12:45

Wrap-up and Next Steps

- Re-cap: essential components of successful 3C framework
- Discussion: key take-aways - developing individual action plan

13.00

Close of the course

Terms and conditions

The registration form is a legally binding agreement between Euronext Corporate Services Italy S.r.l. and the applicant (or the company the applicant works for) and is defined by the following conditions:

Virtual classroom schedule

5 and 6 October 2023: 9:30am – 1:00pm CET

Registration

The applicant can submit the registration form, duly filled out, to Academy 7 days prior to the course date via:

- **EMAIL** academy@euronext.com
- **WEB** [Academy website](#)

To register after this date, please contact the following phone number:

- **TEL +39 02 72426.086**

Participation will be confirmed in writing by the Academy administration.

Registration fee

The individual registration fee is € 970 + VAT (if applicable).

Discounts

Early bird for the second edition (5-6 October 2023): 10% discount for registrations by 7 August 2023

Multiple registrations - Discounts are available for multiple registrations of the same company. In particular:

- Two participants: 10% discount on the total amount
- Three participants: 15% discount on the total amount

Payment method

Fees must be paid:

- Upon receipt of the email from Academy confirming the applicant's registration (sent approximately 7 days prior to the course date)

or

- Upon receipt of the invoice from Euronext Corporate Services Italy S.r.l. (Academy is part of the Euronext Corporate Services Italy S.r.l. Company)

Payment must be made via **BANK TRANSFER** to:

Euronext Corporate Services Italy S.r.l.

P.zza degli Affari, 6

20123 Milano

Tax Code **11734560961**

VAT No. **IT11734560961**

Intesa San Paolo S.p.A.

P.zza Cordusio, 4

20123 Milano

IBAN - **IT22 N030 6901 6261 0000 0125 565**

BIC - **BCITITMM**

Copy of the effected bank transfer must be emailed to Academy academy@euronext.com.

Invoice marked as paid will be mailed to the addresses indicated on the wire transfer.

Intellectual property rights

The Client acknowledges and agrees that the contents made available during the training (including, but not limited to, videos, pictures and texts) are property of Euronext Corporate Services Italy S.r.l. or are supplied by Euronext Corporate Services Italy S.r.l. in virtue of certain contractual arrangements with third parties and cannot be reproduced, distributed or used for business purposes without the prior written consent of Euronext Corporate Services Italy S.r.l. or the entity having the relevant rights on the same.

Liability

Whilst every effort is made by Euronext Corporate Services Italy S.r.l. to ensure that the contents of the training (including, but not limited to, videos, pictures and texts) are accurate and up to date, Euronext Corporate Services Italy S.r.l. shall not be liable whatsoever for any

inaccuracy or misleading information, nor for any consequential damage or expense or any loss of profit or any liability to third parties incurred as a result of reliance on such information, which is provided for educational purpose only. Euronext Corporate Services Italy S.r.l. total liability under this agreement shall be limited to the maximum amount represented by the Fees paid to the latter by the Client.

Traceability of financial flows

Euronext Corporate Services Italy S.r.l. and the Client assume all obligations regarding the traceability of the financial flows provided by Law 136/2010, as subsequently amended and implemented (the "Traceability Obligations").

In relation to the payments to be made pursuant to the present Contract, the Client, if it is a public contractor pursuant to decree law 163/2006 (Code of public contracts for works, services and supplies), to ensure the enforcement of Law 136/2010 and subsequent amendments, undertakes to communicate to Euronext Corporate Services Italy S.r.l., by the form attached to the Contract, the identification bidding code (CIG) and, in case, the unique code of project (CUP).

In particular, in fulfilling the Traceability Obligations Euronext Corporate Services Italy S.r.l. will communicate to the Client:

- (i) the bank accounts details to be used, also nonexclusively, for the payments to be made by the Client pursuant to the present Contract;
- (ii) the personal details and the fiscal code of the persons delegated to operate on them, indicating the relevant role and powers, within 7 (seven) days from the creation of the accounts above (or, in case of existing accounts, within 7 (seven) days from their first use in relation to the payments made by the Client).
- (iii) Any possible amendment of the information indicated in points (i) and (ii) above, will have to be communicated by the Client within 7 (seven) days from occurrence.

Let it be understood that, save for possible derogations and partial exemptions to Law 136/2010, failure to use instruments suitable to permit the full traceability of the financial flows (for instance, bank or post transfer) and

the failure to comply with any other Traceability Obligations, are ground to terminate the present Contract.

Euronext Corporate Services Italy S.r.l. undertakes, in particular, to inform the Client and the Prefecture (territorial office of the Government of the province where the Client has its registered office) if it becomes aware of breaches by its contractual counterparties, if any, in relation to the Traceability Obligations.

Cancellation Policy

According to article 1373 C.C., to withdraw from this contract applicants must send a written notice via email to academy@euronext.com:

- The fee will be fully refundable up to 7 working days prior to course date.
- A 50% refund will be provided for cancellations made during the 6 days leading to the course,
- Fees are non refundable for cancellations made 1 day prior to the course date.

Substitution of attendee (from the same company) may be made at any time.

Academy accepts requests to replace the course with another Academy course. The rescheduled training must take place within 12 months.

Changes to the program

Euronext Corporate Services Italy S.r.l. reserves the right to postpone or cancel the course and notify the participant via fax or email at least 1 week before the course date; in this case, the participant is entitled only to a full refund of the course fee. In addition, Euronext Corporate Services Italy S.r.l. is entitled to make changes to the programme and seat of the training and/or substitute the expected panellists with others with equal skills and competence.

Governing law and jurisdiction

The present agreement shall be governed by Italian law. The parties assign to the Court of Milan the exclusive jurisdiction over any dispute arising out the present agreement, this including – but not limited to – any proceedings regarding the validity, the construction, the performance and/ or the termination of the agreement.

Booking form

Please read the terms and conditions on the preceding page.

Fill out the form and send email to academy@euronext.com.

For further information +39 02 72426086 – academy@euronext.com

Compliance, Conduct and Culture: Building an Effective Framework

Virtual Classroom – 5 and 6 October 2023

REGISTRATION FEE

Individual		<input type="checkbox"/> € 970 + 22% VAT (if applicable)
2 participants	10% discount	<input type="checkbox"/> € 1,746 + 22% VAT (if applicable)
3 participants	15% discount	<input type="checkbox"/> € 2,473 + 22% VAT (if applicable)
Early bird by 7 August	10% discount	<input type="checkbox"/> € 873 + 22% VAT (if applicable)

PARTICIPANT INFORMATION

Name and Surname

Jop title

Company

Email

Phone

Job Field

General Management

ICT

ESG and Sustainable Business

Basic

HR, Organisation and Development

Legal

Finance

Intermediate

Administration and Control

R&D

Risk Management

Advanced

Nature of business

Listed/unlisted company

Bank

Advisory

Energy

Lawyer

Investment Bank

Private Equity

Funds

Company Address

Street

N.

Zip code

City

Country

BILLING INFORMATION**The invoice must be addressed to:**

Company name/Participant name and surname

VAT number

Department

Billing reference name

Street

N.

Zip code

City

Country

Phone

Email

ELECTRONIC INVOICE (IF APPLICABLE)

According to the Italian Law no. 205 of 27.12.2017 and to Provision no. 89757 of 30.4.2018 of the Italian TAX Authority and subsequent amendment and/or integrations, the Client duly holder of an Italian VAT code/Tax identification code) provides with:

Certified Email Address (PEC):

Or Recipient Code:

In order to receive the electronic invoice through the Italian Exchange System (SDI) according to the above information

Phone**Email****SPLIT PAYMENT (IF APPLICABLE)**

According to the art. 17-ter of the Italian D.P.R. no. 633/72 (as subsequently amended and implemented), the Client (duly holder of an Italian VAT code/Tax identification code) declares that:

is subject to the "Split Payment" VAT regime is not subject to the "Split Payment" VAT regime

and undertakes to communicate any change of such regime.

PRIVACY

By signing this booking form I declare that I have read the informative document regarding the processing of personal data on the Euronext Corporate Services's website ([Privacy Policy | Euronext Corporate Services](#)) and I accept the General Terms and Conditions of the service.

In addition to the declaration above, by ticking the relevant box I also inform that (*please tick the chosen box*):

 I DO I DO NOT

authorize Euronext Corporate Services to collect and to process my personal data for the purpose of "direct marketing", by sending advertising material, direct sales and promotion of products and services of Euronext Corporate Services, carrying out market research, marketing communications, also using data subject's name for publicity carried out through automated means of contact such as e-mail, fax messages, mms or sms.

 I DO I DO NOT

authorize the communication/the transfer of the personal data for the purposes of direct marketing by third parties - even outside the European Community - included the other companies of the Euronext Group, as well as third parties referred to in point c) of the informative document regarding the processing of personal data ([Privacy Policy | Euronext Corporate Services](#)).

Signature and company seal**Date:**

Academy

Comprehensive, quality education is fundamental for the development and growth of the economy. As part of a pan-European market infrastructure at the centre of European capital markets, Academy's main objective and activity is turning capital markets expertise into world-class training courses and programmes and making them relevant to the wider financial community of today and of tomorrow. Key Academy assets are our centrality in capital markets, and our internal and external faculty, made up of practitioners, academics, advisors and financial market specialists. Interactive and innovative learning methods make all Academy programmes an inspiring experience.

Contacts

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+39 02 72426 086



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