Capital Markets Regulation & Compliance Training Course

Professional Development Training Course Outline

Category	Capital Markets and Investment	**Duration**	5 Days
Base Fee	$1,500 USD	**Delivery Mode**	Online / On-site Hybrid

Course Introduction

Capital Markets Regulation & Compliance Training Course is designed to provide comprehensive knowledge in securities regulation, financial compliance frameworks, risk governance, anti-money laundering (AML), capital markets supervision, and global regulatory standards. In today's highly regulated financial ecosystem driven by digital transformation, fintech innovation, ESG investing, cross-border trading, and evolving enforcement actions, organizations must strengthen regulatory intelligence, compliance monitoring systems, and internal control environments. This course delivers practical insights into regulatory reporting, surveillance systems, market conduct oversight, and compliance risk mitigation aligned with international best practices.

Participants will gain advanced understanding of securities laws, regulatory authorities, enforcement mechanisms, compliance audits, corporate governance standards, and financial crime prevention strategies. The program integrates real-world case studies, regulatory updates, and compliance automation trends to enhance institutional resilience, investor protection, and market integrity. It equips professionals with strategic compliance capabilities necessary to navigate complex regulatory landscapes, prevent market abuse, and ensure sustainable financial market operations.

Programme Curriculum

Capital Markets Regulation & Compliance Training Course

Introduction

Capital Markets Regulation & Compliance Training Course is designed to provide comprehensive knowledge in securities regulation, financial compliance frameworks, risk governance, anti-money laundering (AML), capital markets supervision, and global regulatory standards. In today's highly regulated financial ecosystem driven by digital transformation, fintech innovation, ESG investing, cross-border trading, and evolving enforcement actions, organizations must strengthen regulatory intelligence, compliance monitoring systems, and internal control environments. This course delivers practical insights into regulatory reporting, surveillance systems, market conduct oversight, and compliance risk mitigation aligned with international best practices.

Participants will gain advanced understanding of securities laws, regulatory authorities, enforcement mechanisms, compliance audits, corporate governance standards, and financial crime prevention strategies. The program integrates real-world case studies, regulatory updates, and compliance automation trends to enhance institutional resilience, investor protection, and market integrity. It equips professionals with strategic compliance capabilities necessary to navigate complex regulatory landscapes, prevent market abuse, and ensure sustainable financial market operations.

Course Objectives

1. Understand global capital markets regulatory frameworks and supervisory architecture
2. Analyze securities laws and regulatory enforcement mechanisms
3. Strengthen AML and counter-terrorism financing compliance systems
4. Implement market surveillance and trade monitoring technologies
5. Develop risk-based compliance programs aligned with international standards
6. Enhance regulatory reporting accuracy and disclosure compliance
7. Mitigate insider trading and market manipulation risks
8. Improve corporate governance and ethical compliance frameworks
9. Apply fintech compliance and RegTech solutions
10. Conduct compliance audits and internal investigations
11. Interpret ESG regulatory requirements and sustainable finance compliance
12. Manage cross-border regulatory risks and international market access
13. Strengthen institutional compliance culture and accountability systems

Organizational Benefits

- Reduced regulatory penalties and enforcement risks
- Improved compliance governance structure
- Enhanced investor confidence and market credibility
- Stronger AML and financial crime controls
- Increased operational transparency
- Optimized regulatory reporting systems
- Improved audit readiness
- Enhanced institutional risk culture

Target Audiences

- Compliance Officers
- Regulatory Affairs Managers
- Risk and Governance Professionals
- Investment Bankers
- Securities Brokers and Dealers

- Financial Analysts
- Internal Auditors
- Legal and Corporate Advisors

Course Duration: 5 days

Course Modules

Module 1: Capital Markets Regulatory Frameworks

- Structure of global securities regulation
- Role of regulatory authorities
- Licensing and authorization requirements
- Regulatory compliance lifecycle
- Supervisory review mechanisms
- Case Study: Regulatory reforms following the 2008 financial crisis

Module 2: Securities Laws and Enforcement

- Securities issuance regulations
- Disclosure and transparency obligations
- Enforcement procedures and penalties
- Administrative and criminal sanctions
- Whistleblower frameworks
- Case Study: Insider trading enforcement action

Module 3: Anti-Money Laundering (AML) & Financial Crime Compliance

- AML compliance programs
- Know Your Customer (KYC) procedures
- Suspicious transaction reporting
- Sanctions screening systems
- Counter-terrorism financing controls
- Case Study: AML compliance failure in a brokerage firm

Module 4: Market Conduct and Surveillance

- Market abuse detection systems
- Trade surveillance technologies
- Prevention of market manipulation
- Insider trading monitoring
- Algorithmic trading compliance
- Case Study: Market manipulation investigation

Module 5: Regulatory Reporting & Disclosure Compliance

- Periodic reporting requirements
- Financial disclosure standards
- Regulatory filings and submissions
- Transparency obligations
- Compliance documentation systems
- Case Study: Reporting failure penalties

Module 6: Corporate Governance & Ethical Compliance

- Board oversight responsibilities
- Governance risk management
- Conflict of interest controls
- Code of ethics implementation
- Compliance culture development
- Case Study: Governance breakdown in financial institution

Module 7: Fintech, RegTech & ESG Compliance

- Digital asset regulations
- RegTech automation solutions
- Cybersecurity regulatory requirements
- ESG disclosure frameworks
- Sustainable finance compliance
- Case Study: ESG reporting compliance review

Module 8: Compliance Audits & Risk Management

- Risk-based compliance assessments
- Internal audit procedures
- Compliance monitoring systems
- Incident response frameworks
- Regulatory inspection readiness
- Case Study: Regulatory audit remediation strategy

Training Methodology

- Instructor-led interactive lectures
- Regulatory framework simulations
- Practical compliance workshops

- Case study analysis sessions
- Group discussions and peer learning
- Compliance risk assessment exercises
- Real-time reporting demonstrations
- Regulatory scenario planning
- Knowledge assessments and evaluations

Register as a group from 3 participants for a Discount

Send us an email: info@fineskilltrainingcenter.com **or call** *+254769199797*

Certification

Upon successful completion of this training, participants will be issued with a globally- recognized certificate.

Tailor-Made Course

We also offer tailor-made courses based on your needs.

Key Notes

a. The participant must be conversant with English.

b. Upon completion of training the participant will be issued with an Authorized Training Certificate

c. Course duration is flexible and the contents can be modified to fit any number of days.

d. The course fee includes facilitation training materials, 2 coffee breaks, buffet lunch and A Certificate upon successful completion of Training.

e. One-year post-training support Consultation and Coaching provided after the course.
f. Payment should be done at least a week before commence of the training, to FINESKILL TRAINING CENTER account, as indicated in the invoice so as to enable us prepare better for you.

Upcoming Scheduled Sessions

Start Date	End Date	Location	Price
07 Sep 2026	11 Sep 2026	Physical	$1,500
14 Sep 2026	18 Sep 2026	Physical	$1,500
21 Sep 2026	25 Sep 2026	Physical	$1,500

Start Date	End Date	Location	Price
28 Sep 2026	02 Oct 2026	Physical	$1,500
05 Oct 2026	09 Oct 2026	Physical	$1,500
12 Oct 2026	16 Oct 2026	Physical	$1,500
19 Oct 2026	23 Oct 2026	Physical	$1,500
26 Oct 2026	30 Oct 2026	Physical	$1,500

Ready to enroll or request a customized program? Book online or contact us:

Register Online Now

Email: info@fineskilltrainingcenter.com | Website: www.fineskilltrainingcenter.com