FINANCE & ACCOUNTING

FA40-2 Risk and Compliance Essentials for Banking Professionals

This practical two–day programme provides a comprehensive introduction to risk management and compliance within the banking and financial services sector. The course equips participants with a clear understanding of key risk types, regulatory expectations, and the fundamentals of financial crime prevention, enabling them to contribute effectively to a strong risk culture within their organisation.

Course Information

Duration: 2 days

London (£1980): 25th August 2026, 8th December 2026

Companies nominating 3 or more delegates to attend the same programme will enjoy a special discount on the course fees.

Upon completion of one of our CPD certified courses, delegates will be awarded both an LMC certificate and a CPD certificate. No examination required.

Who is the course suitable for?

This course is designed for front, middle and back office professionals working in banks and financial institutions who require a practical understanding of risk and compliance. It is particularly suitable for those seeking a solid foundation without requiring deep technical or specialist training.

Course profile

Risk Management in Banking

- Overview of key banking risks: credit, market, liquidity, and operational
- Introduction to the European regulatory landscape
- Risk appetite and governance frameworks
- The three lines of defence model and organisational roles

Compliance and Financial Crime Prevention

- Introduction to financial crime and AML principles
- Know Your Customer (KYC) and customer due diligence
- Transaction monitoring concepts and red flags
- Reporting obligations and regulatory expectations
- Case studies and practical applications

Competencies

At the end of this course, delegates will be able to:

- Understand the main types of risk in banking, including credit, market, liquidity, and operational risk
- Recognise the key elements of the European regulatory environment
- Explain the importance of conduct, governance, and the three lines of defence model
- Identify the fundamentals of anti-money laundering (AML) and financial crime controls
- Apply basic principles of customer due diligence and transaction monitoring
- Contribute to maintaining compliance and a robust risk culture

Course Booking

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www.lmcuk.com

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