

# Postgraduate Certificate Financial Compliance





## Postgraduate Certificate Financial Compliance

- » Modality: online
- » Duration: 6 weeks
- » Certificate: TECH Technological University
- » Dedication: 16h/week
- » Schedule: at your own pace
- » Exams: online

Website: [www.techtitute.com/in/medicine/school-of-business/postgraduate-certificate/financial-compliance](http://www.techtitute.com/in/medicine/school-of-business/postgraduate-certificate/financial-compliance)

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# 01 Welcome

Financial Compliance refers to the set of guidelines focused on ensuring compliance with regulations and legality in companies in the world of finance. Therefore, specialists in this field are responsible for preventing organizations from suffering economic and legal sanctions that significantly affect their viability, which is why their figure is increasingly required by companies. As a result, TECH has designed this program, which allows students to delve into consumer and investor protection strategies or the management of financial compliance risks, growing professionally in this area. In addition, you will obtain these skills through a 100% online methodology and without adhering to pre-established schedules.



Postgraduate Certificate in Financial Compliance.  
TECH Technological University



“

*Increase your skills to manage the risks derived from Financial Compliance and multiply your career prospects in this sector”*

02

# Why Study at TECH?

TECH is the world's largest 100% online business school. It is an elite business school, with a model based on the highest academic standards. A world-class center for intensive managerial skills education.



“

*TECH is a university at the forefront of technology, and puts all its resources at the student's disposal to help them achieve entrepreneurial success"*

## At TECH Technological University



### Innovation

The university offers an online learning model that balances the latest educational technology with the most rigorous teaching methods. A unique method with the highest international recognition that will provide students with the keys to develop in a rapidly-evolving world, where innovation must be every entrepreneur's focus.

"*Microsoft Europe Success Story*", for integrating the innovative, interactive multi-video system.



### The Highest Standards

Admissions criteria at TECH are not economic. Students don't need to make a large investment to study at this university. However, in order to obtain a qualification from TECH, the student's intelligence and ability will be tested to their limits. The institution's academic standards are exceptionally high...

**95%** | of TECH students successfully complete their studies



### Networking

Professionals from countries all over the world attend TECH, allowing students to establish a large network of contacts that may prove useful to them in the future.

**+100000**

executives prepared each year

**+200**

different nationalities



### Empowerment

Students will grow hand in hand with the best companies and highly regarded and influential professionals. TECH has developed strategic partnerships and a valuable network of contacts with major economic players in 7 continents.

**+500**

collaborative agreements with leading companies



### Talent

This program is a unique initiative to allow students to showcase their talent in the business world. An opportunity that will allow them to voice their concerns and share their business vision.

After completing this program, TECH helps students show the world their talent.



### Multicultural Context

While studying at TECH, students will enjoy a unique experience. Study in a multicultural context. In a program with a global vision, through which students can learn about the operating methods in different parts of the world, and gather the latest information that best adapts to their business idea.

TECH students represent more than 200 different nationalities.





TECH strives for excellence and, to this end, boasts a series of characteristics that make this university unique:



### Analysis

---

TECH explores the student's critical side, their ability to question things, their problem-solving skills, as well as their interpersonal skills.



### Academic Excellence

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TECH offers students the best online learning methodology. The university combines the Relearning method (postgraduate learning methodology with the best international valuation) with the Case Study. Tradition and vanguard in a difficult balance, and in the context of the most demanding educational itinerary.



### Economy of Scale

---

TECH is the world's largest online university. It currently boasts a portfolio of more than 10,000 university postgraduate programs. And in today's new economy, **volume + technology = a groundbreaking price**. This way, TECH ensures that studying is not as expensive for students as it would be at another university.



### Learn with the best

---

In the classroom, TECH's teaching staff discuss how they have achieved success in their companies, working in a real, lively, and dynamic context. Teachers who are fully committed to offering a quality specialization that will allow students to advance in their career and stand out in the business world.

Teachers representing 20 different nationalities.



*At TECH, you will have access to the most rigorous and up-to-date case analyses in academia"*

03

# Why Our Program?

Studying this TECH program means increasing the chances of achieving professional success in senior business management.

It is a challenge that demands effort and dedication, but it opens the door to a promising future. Students will learn from the best teaching staff and with the most flexible and innovative educational methodology.



“

*We have highly qualified teachers and the most complete syllabus on the market, which allows us to offer you education of the highest academic level”*

This program will provide you with a multitude of professional and personal advantages, among which we highlight the following:

**01**

### A Strong Boost to Your Career

By studying at TECH, students will be able to take control of their future and develop their full potential. By completing this program, students will acquire the skills required to make a positive change in their career in a short period of time.

*70% of students achieve positive career development in less than 2 years.*

**02**

### Develop a strategic and global vision of the company

TECH offers an in-depth overview of general management to understand how each decision affects each of the company's different functional fields.

*Our global vision of companies will improve your strategic vision.*

**03**

### Consolidate the student's senior management skills

Studying at TECH means opening the doors to a wide range of professional opportunities for students to position themselves as senior executives, with a broad vision of the international environment.

*You will work on more than 100 real senior management cases.*

**04**

### You will take on new responsibilities

The program will cover the latest trends, advances and strategies, so that students can carry out their professional work in a changing environment.

*45% of graduates are promoted internally.*

05

### Access to a powerful network of contacts

TECH connects its students to maximize opportunities. Students with the same concerns and desire to grow. Therefore, partnerships, customers or suppliers can be shared.

*You will find a network of contacts that will be instrumental for professional development.*

06

### Thoroughly develop business projects.

Students will acquire a deep strategic vision that will help them develop their own project, taking into account the different fields in companies.

*20% of our students develop their own business idea.*

07

### Improve soft skills and management skills

TECH helps students apply and develop the knowledge they have acquired, while improving their interpersonal skills in order to become leaders who make a difference.

*Improve your communication and leadership skills and enhance your career.*

08

### You will be part of an exclusive community

Students will be part of a community of elite executives, large companies, renowned institutions, and qualified teachers from the most prestigious universities in the world: the TECH Technological University community.

*We give you the opportunity to study with a team of world-renowned teachers.*

# 04 Objectives

The Postgraduate Diploma in Financial Compliance aims to provide students with the most advanced knowledge and skills in this demanding field. In this way, they will be able to adequately manage the existing risks in this area or to adopt measures to avoid crimes in this field. All this, in only 6 weeks, allowing the professional to balance their work and professional obligations with their studies.



“

*Develop yourself in the field of Financial Compliance in just 6 weeks and boost your professional career”*

TECH makes the goals of their students their own goals too.  
Working together to achieve them.

The **Postgraduate Certificate in Financial Compliance** will enable students to:

01

Determine the prohibited conducts in the field of Compliance in the financial sector

02

Clearly express the objectives and methodology followed to implement a compliance plan

03

Determine the different risks and mitigating tools in this specific sector







04

Elaborate an original risk plan and present and justify it

05

Evaluate the measures adopted in order to avoid crimes specific to this sector

06

Clearly express the methodology followed when identifying Financial Compliance risks

05

# Structure and Content

The Postgraduate Certificate in Financial Compliance is taught in a 100% online format and uses the Relearning methodology, which allows students to access the contents at any time and from anywhere. This program is also divided into very complete topics that break down in detail the most relevant aspects in this field to facilitate the assimilation of knowledge.



“

*This Postgraduate Certificate has a 100% online methodology that will enable you to optimize your studies from your own home"*

## Syllabus

The Postgraduate Certificate in Financial Compliance offered by TECH Technological University is a program that provides a solid education to face challenges and make business decisions in the field of Corporate Compliance. Its content is designed to promote the development of managerial skills so that students can perform with greater rigor in uncertain environments.

During 150 hours of training, students have the opportunity to analyze numerous case studies both individually and in teams, providing them with an immersive experience in real business situations.

This Postgraduate Certificate deals in depth with topics such as consumer and investor protection, compliance risk management, financial market regulation and the prevention of financial crime. All this, with the aim of qualifying professionals who understand Corporate Compliance from a strategic and innovative perspective.

This syllabus is designed with the professional improvement of students in mind and how to prepare them to achieve excellence in the field of leadership and business management. In addition, the program is focused on the latest trends, with innovative content and supported by the best educational methodology and an exceptional faculty.

This Postgraduate Certificate is developed over 6 weeks and is divided into 1 module:

### Module 1

### Financial Compliance



### Where, When and How is it Taught?

TECH offers the possibility of developing this Postgraduate Certificate in Financial Compliance completely online. During the 6 weeks of the specialization, the student will be able to access all the contents of this program at any time, which will allow the students to self-manage their study time.

*A unique, key, and decisive educational experience to boost your professional development and make the definitive leap.*

**Module 1. Financial Compliance**

**1.1. Financial Compliance Risk Structures**

- 1.1.1. Compliance Risks
- 1.1.2. Reputational Risk
- 1.1.3. Regulatory Risks
- 1.1.4. Conduct Risks
- 1.1.5. Financial Crime Risks

**1.2. Consumer and Investor Protection**

- 1.2.1. Consumer Protection: Inquiries and Complaints Channels
- 1.2.2. Groups requiring Special Attention: Financial Inclusion and Vulnerability
- 1.2.3. Cases: Wells Fargo and the Bankia Case

**1.3. MiFID II. European Regulation on Markets in Financial Instruments**

- 1.3.1. MiFID II: Objectives, Impact and General Framework
- 1.3.2. Product Cataloging
- 1.3.3. Client Classification
- 1.3.4. Securities Market Law

**1.4. Investment Instruments: Controls, Suitability and Suitability**

- 1.4.1. Product Governance
- 1.4.2. Suitability and Appropriateness Test
- 1.4.3. Distribution: Communication and Advertising Campaigns
- 1.4.4. Compliance Controls and Monitoring

**1.5. Market Manipulation**

- 1.5.1. European Market Abuse Directive (MAD) and Market Abuse Regulation (MAR)
- 1.5.2. Market Abuse. Pillars
- 1.5.3. Sanctioned Conducts

**1.6. Insider Information in the Financial Markets**

- 1.6.1. Privileged Information
- 1.6.2. Risk Events
- 1.6.3. Control Systems

**1.7. Controls on the Contracting of Financial Products by Remote Means**

- 1.7.1. The Risk of Using Remote Means
- 1.7.2. Controls for the Protection of Institutions
- 1.7.3. Controls for Consumer Protection

**1.8. Cross-Border Transactions in Finance**

- 1.8.1. Globalization: Licensing versus Access
- 1.8.2. Mappings of Business Licenses and Jurisdictions with Cross-Border Services
- 1.8.3. Design of Mitigating Factor Matrices

**1.9. Regulatory Change Management**

- 1.9.1. Regulatory Change Management
- 1.9.2. Monitoring of Regulatory Developments and Initiatives
- 1.9.3. Mapping and Analysis of Required Actions
- 1.9.4. Coordination and Implementation

**1.10. Compliance Project Management**

- 1.10.1. Compliance as a Project Manager
- 1.10.2. Pillars in Compliance Project Management
- 1.10.3. Compliance Project Life Cycle



*Enjoy educational content in a variety of textual and multimedia formats and choose the one that best suits your educational needs"*



# 06

# Methodology

This academic program offers students a different way of learning. Our methodology uses a cyclical learning approach: **Relearning**.

This teaching system is used, for example, in the most prestigious medical schools in the world, and major publications such as the **New England Journal of Medicine** have considered it to be one of the most effective.







“

*Discover Relearning, a system that abandons conventional linear learning, to take you through cyclical teaching systems: a way of learning that has proven to be extremely effective, especially in subjects that require memorization"*



## TECH Business School uses the Case Study to contextualize all content

Our program offers a revolutionary approach to developing skills and knowledge. Our goal is to strengthen skills in a changing, competitive, and highly demanding environment.

“*At TECH, you will experience a learning methodology that is shaking the foundations of traditional universities around the world*”



*This program prepares you to face business challenges in uncertain environments and achieve business success.*



*Our program prepares you to face new challenges in uncertain environments and achieve success in your career.*

### A learning method that is different and innovative

This TECH program is an intensive educational program, created from scratch to present executives with challenges and business decisions at the highest level, whether at the national or international level. This methodology promotes personal and professional growth, representing a significant step towards success. The case method, a technique that lays the foundation for this content, ensures that the most current economic, social and business reality is taken into account.

“

*You will learn, through collaborative activities and real cases, how to solve complex situations in real business environments”*

The case method has been the most widely used learning system among the world's leading business schools for as long as they have existed. The case method was developed in 1912 so that law students would not only learn the law based on theoretical content. It consisted of presenting students with real-life, complex situations for them to make informed decisions and value judgments on how to resolve them. In 1924, Harvard adopted it as a standard teaching method.

What should a professional do in a given situation? This is the question we face in the case method, an action-oriented learning method. Throughout the program, the studies will be presented with multiple real cases. They must integrate all their knowledge, research, argue and defend their ideas and decisions.

## Relearning Methodology

TECH effectively combines the Case Study methodology with a 100% online learning system based on repetition, which combines different teaching elements in each lesson.

We enhance the Case Study with the best 100% online teaching method: Relearning.

*Our online system will allow you to organize your time and learning pace, adapting it to your schedule. You will be able to access the contents from any device with an internet connection.*

At TECH you will learn using a cutting-edge methodology designed to train the executives of the future. This method, at the forefront of international teaching, is called Relearning.

Our online business school is the only one in the world licensed to incorporate this successful method. In 2019, we managed to improve our students' overall satisfaction levels (teaching quality, quality of materials, course structure, objectives...) based on the best online university indicators.



In our program, learning is not a linear process, but rather a spiral (learn, unlearn, forget, and re-learn). Therefore, we combine each of these elements concentrically.

With this methodology we have trained more than 650,000 university graduates with unprecedented success in fields as diverse as biochemistry, genetics, surgery, international law, management skills, sports science, philosophy, law, engineering, journalism, history, markets, and financial instruments. All this in a highly demanding environment, where the students have a strong socio-economic profile and an average age of 43.5 years.

*Relearning will allow you to learn with less effort and better performance, involving you more in your specialization, developing a critical mindset, defending arguments, and contrasting opinions: a direct equation to success.*

From the latest scientific evidence in the field of neuroscience, not only do we know how to organize information, ideas, images and memories, but we know that the place and context where we have learned something is fundamental for us to be able to remember it and store it in the hippocampus, to retain it in our long-term memory.

In this way, and in what is called neurocognitive context-dependent e-learning, the different elements in our program are connected to the context where the individual carries out their professional activity.



This program offers the best educational material, prepared with professionals in mind:



### Study Material

All teaching material is produced by the specialists who teach the course, specifically for the course, so that the teaching content is highly specific and precise.

These contents are then applied to the audiovisual format, to create the TECH online working method. All this, with the latest techniques that offer high quality pieces in each and every one of the materials that are made available to the student.



### Classes

There is scientific evidence suggesting that observing third-party experts can be useful.

Learning from an Expert strengthens knowledge and memory, and generates confidence in future difficult decisions.



### Management Skills Exercises

They will carry out activities to develop specific executive competencies in each thematic area. Practices and dynamics to acquire and develop the skills and abilities that a high-level manager needs to develop in the context of the globalization we live in.



### Additional Reading

Recent articles, consensus documents and international guidelines, among others. In TECH's virtual library, students will have access to everything they need to complete their course.





### Case Studies

Students will complete a selection of the best case studies chosen specifically for this program. Cases that are presented, analyzed, and supervised by the best senior management specialists in the world.



### Interactive Summaries

The TECH team presents the contents attractively and dynamically in multimedia lessons that include audio, videos, images, diagrams, and concept maps in order to reinforce knowledge.

This exclusive educational system for presenting multimedia content was awarded by Microsoft as a "European Success Story".



### Testing & Retesting

We periodically evaluate and re-evaluate students' knowledge throughout the program, through assessment and self-assessment activities and exercises, so that they can see how they are achieving their goals.



07

# Our Students' Profiles

The Postgraduate Certificate is aimed at University Graduates who have previously completed any of the following degrees in the field of Social and Legal Sciences, Administration and Economics.

This program uses a multidisciplinary approach as the students have a diverse set of academic profiles and represent multiple nationalities.

The Postgraduate Certificate may also be taken by professionals who, being university graduates in any area, have two years of work experience in the field of Corporate Compliance.







“

*Perfect your skills in Financial Compliance  
while working through this program"*

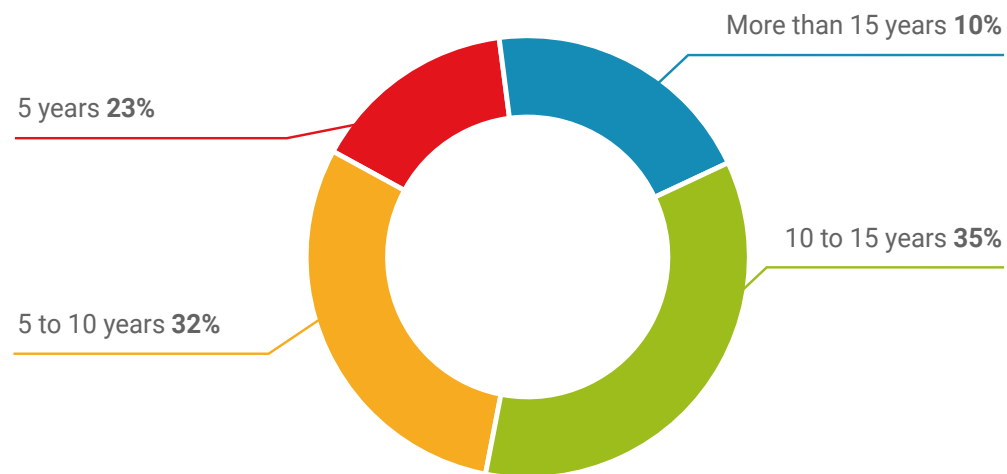
### Average Age

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Between **35** and **45** years old

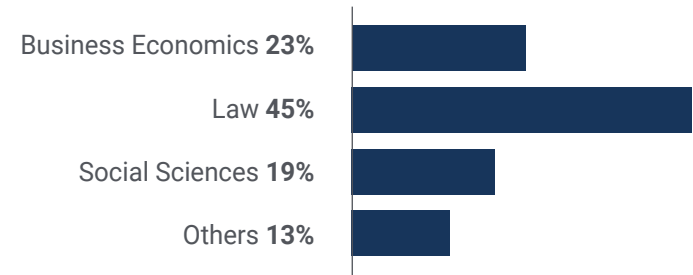
### Years of Experience

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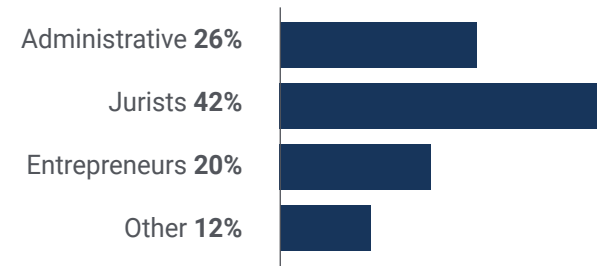
### Training

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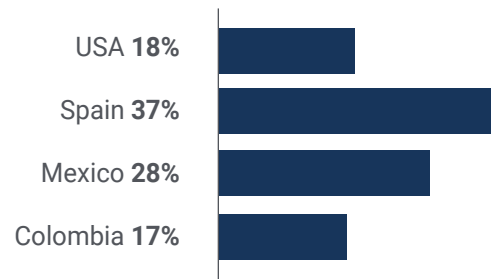
### Academic Profile

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## Geographical Distribution

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## Pablo Álvarez

*Compliance Officer*

*"The Postgraduate Certificate in Financial Compliance has provided me with a solid and up-to-date understanding of risks and regulations in the financial sector. Thanks to this knowledge, I have achieved great professional growth and have been able to generate greater value for my company"*

08

# Course Management

The teaching team of the Postgraduate Certificate in Financial Compliance is made up of professionals who are active in this area and who, in addition, have extensive experience in this field. As such, they have held the position of Compliance Officer in different top level companies, which allows them to transmit a practical and updated vision of the sector to the students, who will enjoy quality learning and usefulness in their work.



A black and white photograph showing three people in profile, looking down at a screen. The image is partially obscured by a dark blue diagonal overlay on the right side of the page.

“

*In order to provide you with the most up-to-date knowledge on Financial Compliance, this Postgraduate Certificate is taught by active specialists in the field"*

## Management



### **Dr. Muñoz Pérez, Ana Felicitas**

- ♦ Lawyer specialized in Commercial Law
- ♦ Lawyer in TDP Methods
- ♦ Lawyer in Methods and Business Organizers
- ♦ Lawyer at Lupicinio International Law Firm
- ♦ Professor at the URJC
- ♦ PhD in Commercial Law from the Complutense University of Madrid
- ♦ Graduate in Law from the Complutense University of Madrid
- ♦ Master's Degree in Legal Consultancy
- ♦ Master's Degree in Competition Law



## Professors

### Ms. Suárez Barcia, Lucía

- Lawyer in Compliance Crypto and Digital Assets Unit in Santander
- Global Compliance Officer at Lana
- Deputy Director of Compliance at ICBC Spain
- Lawyer in Compliance Europe at Grove and Lucania Gestión
- Associate Professor at the Institute of Stock Market Studies (IEB)
- Collaborating professor of the Criminal Compliance module in the Master's Degree in Legal Consultancy at the Complutense University of Madrid.
- Degree in Law from ICADE
- Degree in Business Management and Administration from ICADE
- Diploma in Private Law from ICADE
- Diploma in Financial Inclusion from CAF Development Bank for Latin America
- Part-Time Professional MBA at IE Business School



*Enjoy an educational experience shared with students from different parts of the world"*

09

# Impact on Your Career

This program has a significant impact on the student's professional career, since they will have the best skills in Financial Compliance. This knowledge is highly valued by companies in an increasingly demanding market, generating excellent professional prospects and increasing the possibilities of occupying positions of responsibility.







“

*This educational institution is committed to offering programs that contribute to professional development”*

### Are you ready to take the leap? Excellent professional development awaits you.

TECH's Postgraduate Certificate in Financial Compliance is an intensive program that prepares you to face challenges and business decisions in the field of Corporate Compliance. The main objective is to promote your personal and professional growth. Helping you achieve success.

If you want to improve yourself, make a positive change at a professional level, and network with the best, then this is the place for you.

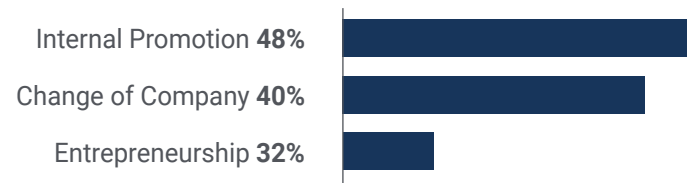
*Improve your salary prospects in just 6 weeks thanks to the Postgraduate Certificate in Financial Compliance.*

*Do you want to achieve an excellent professional promotion? This Postgraduate Certificate provides you with the best tools to achieve it!*

#### Time of Change



#### Type of change



### Salary increase

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The completion of this program represents a salary increase of more than **27.32%** for our students.



10

# Benefits for Your Company

The Postgraduate Certificate in Financial Compliance contributes to elevate the organization's talent to its maximum potential through the qualification of high-level leaders.

Participating in this Postgraduate Certificate is a unique opportunity to access a powerful network of contacts in which to find future professional partners, customers or suppliers.





“

*The Financial Compliance expert is an essential worker for any company in the finance sector that wishes to operate with peace of mind and respect for the law”*

Developing and retaining talent in companies is the best long-term investment.

01

### **Growth of talent and intellectual capital**

The professional will introduce the company to new concepts, strategies, and perspectives that can bring about significant changes in the organization.

---

02

### **Retaining high-potential executives to avoid talent drain**

This program strengthens the link between the company and the professional and opens new avenues for professional growth within the company.

03

### **Building agents of change**

You will be able to make decisions in times of uncertainty and crisis, helping the organization overcome obstacles.

---

04

### **Increased international expansion possibilities**

Thanks to this program, the company will come into contact with the main markets in the world economy.



05

### **Project Development**

The professional can work on a real project or develop new projects in the field of R & D or business development of your company.

---

06

### **Increased competitiveness**

This program will equip students with the skills to take on new challenges and drive the organization forward.

11

# Certificate

The Postgraduate Certificate in Financial Compliance guarantees students, in addition to the most rigorous and up-to-date education, access to a Postgraduate Certificate issued by TECH Technological University.







“

*Successfully complete this program and receive your university qualification without having to travel or fill out laborious paperwork”*

This **Postgraduate Certificate in Financial Compliance** contains the most complete and up-to-date scientific program on the market.

After the student has passed the assessments, they will receive their corresponding **Postgraduate Certificate** issued by **TECH Technological University** via tracked delivery\*.

The certificate issued by **TECH Technological University** will reflect the qualification obtained in the Postgraduate Certificate, and meets the requirements commonly demanded by labor exchanges, competitive examinations, and professional career evaluation committees.

Title: **Postgraduate Certificate in Financial Compliance**

Official N° of Hours: **150 h.**



\*Apostille Convention. In the event that the student wishes to have their paper certificate issued with an apostille, TECH EDUCATION will make the necessary arrangements to obtain it, at an additional cost.



## Postgraduate Certificate Financial Compliance

- » Modality: **online**
- » Duration: **6 weeks**
- » Certificate: **TECH Technological University**
- » Dedication: **16h/week**
- » Schedule: **at your own pace**
- » Exams: **online**

# Postgraduate Certificate Financial Compliance

