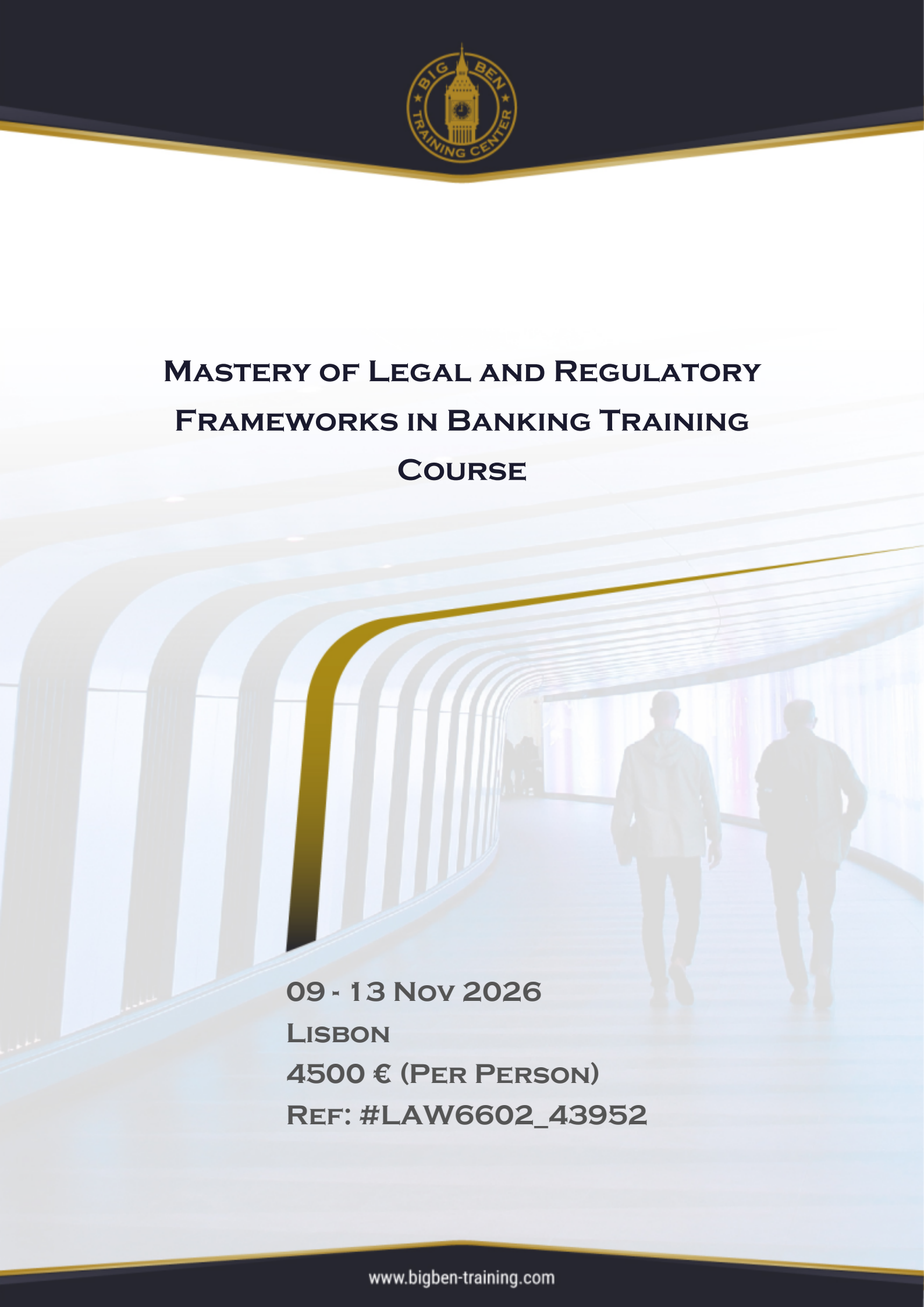
Mastery of Legal and Regulatory Frameworks in Banking Training Course



09 - 13 Nov 2026

Lisbon

4500 € (Per Person)

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Course Introduction / Overview:

The legal and regulatory landscape governing the banking and financial sectors is complex and ever-changing, making it a critical area for professionals to understand. This intensive program, offered by BIG BEN Training Center, is designed to give participants a deep understanding of these frameworks. We'll explore the key laws, regulations, and ethical standards that shape modern finance, with a special focus on risk management and compliance. Drawing on insights from leading academics like Frank Partnoy, a distinguished law professor and author of "Infectious Greed," this training course goes beyond the basics. It offers a comprehensive look at the legal principles of finance, including the nuances of corporate governance and the intricacies of financial crime. Participants will learn how to navigate legal challenges, identify regulatory changes, and implement robust compliance strategies. This knowledge is essential for mitigating risks and ensuring an organization's integrity and long-term sustainability. The course is built to give professionals the practical skills they need to handle the legal and ethical dilemmas they face every day in the financial industry.

Target Audience / This training course is suitable for:

- Compliance and risk management officers.
- In-house legal counsel.
- Internal and external auditors.
- Financial sector managers and executives.
- Investment bankers and financial analysts.
- Corporate governance specialists.
- Professionals in anti-money laundering departments.
- Credit and loan officers.
- Regulatory affairs personnel.
- Anyone responsible for ensuring institutional adherence to legal standards.

Target Sectors and Industries:

- Commercial and investment banking.
- Central banks and financial authorities.
- Financial services and fintech companies.
- Insurance and asset management firms.
- Government agencies and supervisory bodies.
- Stock exchanges and brokerages.
- Consulting and advisory services.
- Private equity and venture capital.

Target Organizations Departments:

- Legal and compliance departments.
- Risk management departments.
- Internal and external audit.
- Corporate governance.
- Financial crime and anti-money laundering (AML).
- Operations and treasury.
- Credit and loan administration.
- Regulatory affairs.

Course Offerings:

By the end of this course, the participants will have able to:

- Master the key legal principles and regulatory compliance requirements for the financial sector.
- Analyze the impact of global and local financial regulations on banking operations.
- Develop effective risk management strategies to ensure regulatory adherence.
- Identify and mitigate legal and reputational risks in financial transactions.
- Implement strong corporate governance frameworks within their institutions.
- Navigate complex legal issues related to anti-money laundering and counter-terrorist financing.
- Apply ethical principles to daily financial operations and decision-making.
- Interpret and respond to regulatory audits and investigations.
- Understand the legal aspects of modern financial instruments and technologies.

Course Methodology:

This training course uses a mix of interactive and practical methods to ensure participants get a hands-on learning experience. Our approach includes detailed case studies based on real-world legal and regulatory challenges in the banking sector. We also use interactive group discussions, allowing professionals to share insights and explore complex topics like financial regulatory compliance and risk management. The curriculum is designed to be highly engaging, with practical workshops and role-playing exercises that help participants apply legal frameworks to various scenarios. For instance, a session might simulate a regulatory audit, giving participants a chance to practice their response. We also include expert-led presentations and guest speaker sessions to provide diverse perspectives on corporate governance, anti-money laundering, and ethical standards. This multi-faceted approach, combined with continuous feedback, ensures a dynamic learning environment where participants can deepen their understanding and develop practical legal training skills for the financial industry. All our courses, including this one, are created to be highly relevant and practical, helping participants improve their professional skills.

Course Agenda (Course Units):

Unit One: Foundations of Legal and Regulatory Frameworks

- Financial services legal and regulatory in the environment.
- International banking legal standards.
- Corporate law and governance in banking.
- Legal implications of financial technology.
- Understanding contracts and legal agreements in finance.

Unit Two: Risk Management and Compliance

- Regulatory compliance for financial institutions.
- Enterprise risk management frameworks.
- Operational and legal risk assessment.
- Compliance management systems.
- Internal controls and auditing.
- Legal risks in cross-border transactions.

Unit Three: Anti-Money Laundering and Counter-Terrorist Financing

- AML and CTF legal and regulatory standards.
- Customer due diligence and know your customer (KYC) requirements.
- Reporting suspicious activities.
- Global legal frameworks for financial crime.
- Impact of AML laws on banking operations.

Unit Four: Ethical Standards and Corporate Accountability

- Ethics in the financial industry.
- Professional conduct and responsibility.
- Handling conflicts of interest.
- Corporate governance principles.
- Accountability and legal liabilities for executives.

Unit Five: Emerging Legal Issues and Future Trends

- Legal challenges of digitalization and blockchain.
- Data privacy and cybersecurity laws.
- Regulatory changes and their impact on banks.
- Emerging financial crime trends.
- Future of financial services regulation.

FAQ:

Qualifications required for registering to this course?

There are no requirements.

How long is each daily session, and what is the total number of training hours for the course?

This training course spans five days, with daily sessions ranging between 4 to 5 hours, including breaks and interactive activities, bringing the total duration to 20 - 25 training hours.

Something to think about:

In an era of rapid technological change, how can legal and compliance professionals in the banking sector anticipate and prepare for new forms of financial crime that have not yet been regulated?

What unique qualities does this course offer compared to other courses?

This training course is unique because it goes beyond just a surface-level review of financial regulations. It's designed to give you a genuine understanding of the legal and ethical frameworks that drive the global financial system. Instead of simply listing laws, we use a practical, scenario-based approach, like deep dives into complex case studies, to help you apply your knowledge to real-world situations. We also focus on the human element, like ethical standards and corporate accountability, which many other courses miss. Our curriculum is constantly updated to reflect the latest changes in financial services law, from new regulations on data privacy to emerging challenges in cryptocurrency. This ensures that the skills you learn are not only current but also relevant for the future. You will get the chance to work through tough problems, like conducting a risk assessment or developing an effective compliance plan, in a way that feels natural and not just theoretical. This practical focus, combined with our emphasis on legal training for the banking and financial sector, makes our course a truly valuable experience.