Trading Compliance & Ethics 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

The global financial landscape is increasingly complex, and maintaining robust compliance and ethical standards is critical for trading organizations to thrive. Trading Compliance & Ethics Training Course equips professionals with comprehensive knowledge of regulatory frameworks, market integrity, risk mitigation strategies, and ethical decision-making processes. Participants will gain insights into global trading laws, anti-fraud measures, insider trading prevention, and ethical trading practices. This course emphasizes practical application, empowering participants to implement compliance programs and uphold organizational integrity in dynamic trading environments.

This course is designed to enhance awareness of evolving regulations, strengthen ethical culture, and foster accountability across trading operations. Through detailed case studies, interactive scenarios, and hands-on exercises, participants will learn to navigate complex compliance challenges while aligning with corporate governance standards. By integrating industry best practices, this training ensures that participants can identify risks, make informed decisions, and promote a culture of transparency and ethical behavior within their organizations.

Programme Curriculum

Trading Compliance & Ethics Training Course

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Course Objectives

1. Understand the core principles of trading compliance and ethics.
2. Analyze global trading regulations and their practical implications.
3. Identify and mitigate insider trading risks effectively.
4. Implement anti-fraud and anti-money laundering measures.
5. Strengthen organizational ethical culture and accountability.
6. Apply compliance frameworks in real-world trading scenarios.
7. Enhance corporate governance through ethical decision-making.
8. Evaluate the role of regulators and regulatory reporting requirements.
9. Develop robust risk assessment and management strategies.
10. Integrate technology and analytics in compliance monitoring.
11. Conduct internal audits and investigations with ethical standards.
12. Promote transparent communication and reporting practices.
13. Foster professional integrity and market confidence.

Organizational Benefits

- Improved regulatory compliance and reduced legal penalties.
- Strengthened organizational reputation and stakeholder trust.
- Enhanced risk management and fraud prevention capabilities.
- Streamlined internal compliance processes and reporting.
- Increased employee awareness of ethical trading practices.
- Consistent adherence to corporate governance policies.
- Better decision-making through structured compliance training.
- Improved transparency and accountability across trading operations.

- Reduced incidences of insider trading and market manipulation.
- Enhanced market integrity and investor confidence.

Target Audiences

1. Compliance officers in trading firms
2. Risk management professionals
3. Financial regulators and auditors
4. Investment advisors and portfolio managers
5. Trading desk executives
6. Legal and corporate governance teams
7. Internal audit specialists
8. Operations and control personnel

Course Duration: 5 days

Course Modules

Module 1: Introduction to Trading Compliance & Ethics

- Overview of trading regulations
- Importance of ethical trading
- Regulatory authorities and frameworks
- Key compliance challenges
- Case study: Compliance failure impact in trading
- Interactive Q&A session

Module 2: Insider Trading and Market Abuse

- Definition and examples of insider trading
- Detection and prevention methods
- Regulatory requirements for reporting
- Ethical considerations in trading decisions
- Case study: Insider trading investigation
- Group discussion exercise

Module 3: Anti-Fraud and Anti-Money Laundering Measures

- Fraud risk identification

- AML frameworks and policies
- Reporting suspicious transactions
- Ethical implications in financial crime prevention
- Case study: Successful AML implementation
- Practical simulation exercise

Module 4: Corporate Governance and Ethical Decision-Making

- Principles of corporate governance
- Ethical dilemmas in trading
- Accountability mechanisms
- Stakeholder engagement and transparency
- Case study: Governance failure analysis
- Role-playing exercise

Module 5: Regulatory Reporting and Compliance Monitoring

- Reporting obligations and timelines
- Monitoring tools and techniques
- Data analytics in compliance
- Maintaining documentation and audit trails
- Case study: Regulatory reporting best practices
- Hands-on reporting activity

Module 6: Risk Assessment and Management Strategies

- Identifying trading risks
- Risk mitigation frameworks
- Scenario planning and stress testing
- Integrating ethics into risk management
- Case study: Risk management in trading operations
- Group risk assessment workshop

Module 7: Internal Audits and Investigations

- Audit planning and execution
- Investigation protocols

- Ethical considerations in audits
- Reporting findings and recommendations
- Case study: Audit of compliance breaches
- Simulation: Conducting an internal audit

Module 8: Promoting Ethical Culture and Market Integrity

- Building a culture of ethics
- Employee training and awareness programs
- Leadership role in compliance
- Encouraging transparent communication
- Case study: Transformation to ethical trading culture
- Interactive team exercise

Training Methodology

- Instructor-led lectures with industry examples
- Interactive workshops and role-playing
- Case study analysis of real-world scenarios
- Group discussions and collaborative exercises
- Hands-on simulations of compliance monitoring
- Quizzes and knowledge checks for reinforcement
- Continuous feedback and mentorship sessions

Register as a group from 3 participants for a Discount

Send us an email: info@fineskilltrainingcenter.org 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
23 Nov 2026	27 Nov 2026	Online	$1,000
23 Nov 2026	27 Nov 2026	Physical	$1,500
23 Nov 2026	27 Nov 2026	Physical	$3,000
23 Nov 2026	27 Nov 2026	Physical	$3,000
23 Nov 2026	27 Nov 2026	Physical	$6,000
23 Nov 2026	27 Nov 2026	Physical	$4,500
23 Nov 2026	27 Nov 2026	Physical	$6,000
23 Nov 2026	27 Nov 2026	Physical	$6,000

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

Register Online Now

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