



Global Financial Regulation and Supervision Training Course

2 – 6 November 2026
San Diego



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Ref: 1219_190045 **Date:** 2 – 6 November 2026 **Location:** San Diego **Fees:** 14000 Euro

Overview

Global Financial Regulation and Supervision Training Course is a one-week course for compliance, risk, legal, audit, governance, and regulated-institution managers who leave with a Financial Regulatory Governance File. The course connects regulatory architecture, prudential supervision, capital and liquidity, market conduct, financial crime controls, recovery and resolution, regulatory reporting, change management, supervisory engagement, and board oversight. Agile Leaders Training Center presents global financial regulation for governed implementation.

Who Should Attend

- Compliance functions responsible for interpreting obligations and coordinating implementation
- Financial risk functions responsible for capital, liquidity, stress, and prudential evidence
- Legal and regulatory-affairs functions responsible for regulatory interpretation and engagement
- Internal audit functions responsible for assurance over regulatory governance and controls
- Governance functions responsible for board oversight, accountability, and reporting
- Business management functions responsible for implementing regulatory change

The course assumes participants work with regulatory obligations, risk information, control evidence, or supervisory requests and leaves out jurisdiction-specific legal advice, detailed prudential calculations, investment analysis, and basic banking operations.

Departments and Industries

The course supports global financial regulation and supervision across:

- Compliance, legal, regulatory-affairs, risk, and internal-audit departments
- Finance, treasury, data, reporting, and governance functions
- Banks, insurers, securities firms, and payment organizations
- Investment, asset-management, fintech, and market-infrastructure organizations
- Consulting, assurance, and professional-service teams supporting regulated institutions

Learning Objectives

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



- Analyze regulatory objectives, perimeter, institutions, and cross-border interfaces
- Evaluate prudential capital, liquidity, supervision, and disclosure concepts
- Compare conduct, market-integrity, and financial-crime control expectations
- Build recovery, resolution, reporting, and information maps
- Apply regulatory change and supervisory-engagement controls
- Evaluate governance evidence and board regulatory reporting

Course Agenda

Day 1: Regulatory Architecture and Objectives

- Global Financial Regulatory Architecture Map
- Regulatory Objectives and Public-Interest Matrix
- Regulatory Perimeter and Entity Classification
- Home and Host Supervision Interface Map
- Regulatory Obligation Inventory

Day 2: Prudential Supervision and Resilience

- Basel Framework Structure Reference
- Capital Adequacy Concept Map
- Liquidity Risk and Monitoring Metric Guide
- Supervisory Review Evidence Checklist
- Prudential Stress-Test Governance Record

Day 3: Conduct, Integrity, and Financial Crime

- Investor Protection and Market Integrity Map
- Conduct Risk Control Assessment
- Disclosure and Market Discipline Checklist
- Financial Crime Control Interface Matrix
- Regulatory Data Lineage and Reporting Map

Day 4: Recovery, Resolution, and Change

- FSB Key Attributes Reference Map
- Recovery Option and Trigger Register
- Resolution Information Requirement Matrix
- Regulatory Change Impact Assessment
- Supervisory Engagement and Response Log

Day 5: Financial Regulatory Governance Practice

- Exercise: Map Regulatory Perimeter and Obligations
- Exercise: Review Prudential and Conduct Evidence
- Exercise: Connect Recovery, Resolution, and Reporting
- Exercise: Plan Regulatory Change and Engagement
- Capstone Exercise: Financial Regulatory Governance File

Practical Exercises

The course uses suggested activities to practice financial regulatory governance:

- Suggested activity: map the prudential and conduct interfaces for a banking group
- Suggested activity: review capital, liquidity, disclosure, and reporting evidence for a supervisory meeting
- Suggested activity: connect recovery triggers and information needs for an insurance case
- Suggested activity: present a regulatory change decision and governance report to a board committee

FAQs

Who does global financial regulation and supervision training suit, and what does it assume?

Global financial regulation and supervision training suits experienced compliance, risk, legal, audit, governance, and management functions and assumes responsibility for regulatory evidence, implementation, oversight, or supervisory engagement.

How does global financial regulation training differ from general corporate compliance training?

Global financial regulation training focuses on prudential supervision, conduct, market integrity, recovery, resolution, regulatory reporting, and cross-border oversight, while general corporate compliance covers obligations across many industries.

What is prudential supervision in global financial regulation?

Prudential supervision assesses whether financial institutions maintain adequate resilience, governance, risk management, capital, liquidity, controls, information, and corrective capacity in relation to their risks.

How do recovery and resolution differ in financial regulation?

Recovery uses institution-led options to restore financial strength and viability under stress, while resolution enables authorities to manage failure while protecting critical functions and financial stability.



How should financial institutions manage regulatory change?

Financial institutions should manage regulatory change through horizon scanning, interpretation, applicability decisions, impact assessment, ownership, implementation, testing, evidence, approval, reporting, and closure controls.

Conclusion

Participants take back a Financial Regulatory Governance File containing architecture maps, obligation inventories, prudential references, conduct assessments, recovery and resolution maps, change controls, engagement logs, and a board report. The file changes dispersed regulatory activity into a traceable governance process. It supports accountable interpretation, implementation, evidence, escalation, and supervisory communication.