



# Compliance Risk and Regulatory Awareness for BCOs

1 - 3 December 2026

Kuala Lumpur

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**Compliance Risk and Regulatory Awareness for BCOs****1 - 3 December 2026****Kuala Lumpur**

Get equipped to take on your role as a Business Compliance Officer (BCO) with confidence through this hands-on course in Compliance Risk and Regulatory Awareness. Gain a solid foundation in compliance principles, MAS regulations, and practical tools to manage regulatory risks. This program provides a clear understanding of the BCO's role in identifying, monitoring, and addressing compliance risks—while promoting ethical conduct and a strong compliance culture.

**Overview**

Compliance risk is a critical area for Business Compliance Officers (BCOs), who serve as the first line of defense in managing regulatory obligations. This intensive course equips participants with a strong foundation in compliance risk and the regulatory landscape, along with practical tools for identifying, mapping, and monitoring risks in business processes.

On completion of the course, you will be able to:

- Gain an understanding of key compliance risks, MAS regulations, and the role of BCOs;
- Apply risk identification and monitoring techniques using real-world scenarios;
- Promote ethical conduct and strengthen compliance culture across business units.

**Who should attend**

All individuals who want to improve their compliance risk awareness and regulatory knowledge:

- Business Compliance Officers and regulatory support staff
- Professionals involved in AML, CDD, or compliance monitoring
- Managers and team leads seeking to embed compliance into operations

**Methodology**

The non-theoretical methodology which includes interactive discussions, case studies, and exercises to understand the concepts and their real-life application. As a policy, we limit the class size so that we can provide attention to each participant and ensure their objective is achieved. We request you to please bring your laptop with relevant compliance tools or Excel installed to the class.

**Trainer**

All our trainers are carefully chosen by us and possess deep practical experience in regulatory compliance and risk. This course is conducted by a senior consultant with over 16 years of industry experience, specializing in AML/CFT, MAS regulations, and internal controls across banking and financial institutions.

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### **Course Content**

#### **Module – 1**

##### **Introduction to Compliance Risk and Its Relevance to BCOs.**

- What is compliance risk and how it differs from other risks
- Real-world impacts: legal, reputational, and financial consequences
- Types of compliance risk (regulatory, operational, AML/KYC, data privacy)
- Risk appetite and tolerance: what BCOs should know
- BCOs as the first line of defense in identifying and managing compliance risk

#### **Module – 2**

##### **Understanding the Regulatory Landscape for BCOs.**

###### **pics:**

- Overview of MAS regulations: MAS (AML/CFT), FAA, SFA, TRM
- Other relevant frameworks: GDPR, PDPA, ISO
- Business unit obligations under MAS Notices and Guidelines
- How regulations impact business decisions and day-to-day operations
- Staying updated: tools and methods to track regulatory change

#### **Module – 3**

##### **Identifying and Mapping Compliance Risks.**

- Techniques to identify regulatory risk exposures
- Tools: risk heat maps, compliance matrices, self-assessment checklists
- Mapping risks to controls and processes
- Examples from transaction processing, client onboarding, and reporting
- Linking identified risks to relevant policies or regulations

#### **Module – 4**

##### **Role of the BCO in Compliance Monitoring and Control Activities.**

- Core duties: monitoring controls, reporting breaches, training teams
- Preventive and detective control examples relevant to BCOs
- Ensuring control effectiveness: documentation and walkthroughs
- Escalation protocols and thresholds for reporting breaches

- Supporting internal audit and compliance reviews

#### **Module – 5**

##### **Customer Due Diligence (CDD) and Transaction Monitoring Essentials.**

- Basics of CDD: identity verification, beneficial ownership, risk profiling
- Enhanced Due Diligence (EDD) for high-risk clients
- Ongoing monitoring and periodic reviews
- Introduction to transaction monitoring: what to flag and why
- Role of BCOs in ensuring frontline staff adhere to AML procedures

#### **Module – 6**

##### **Promoting Compliance Culture and Ethical Conduct.**

- “Tone at the top” and its influence on daily operations
- Embedding compliance into KPIs and team values
- Training and awareness campaigns: best practices for BCOs
- Encouraging a speak-up culture and safe reporting channels

#### **Module – 7**

##### **Practical Case Studies and Group Exercises.**

- Interactive scenarios:
  - A gift offer during procurement
  - Skipping approval due to urgency
  - Handling a customer data breach
- Group discussions on root causes and corrective actions
- Identification of missed compliance controls
- Peer reflections and short assessments for knowledge retention

#### **Module – 8**

##### **Aligning Compliance with Strategic Business Objectives.**

- Aligning compliance with risk management and corporate strategy
- The cost of non-compliance vs. investment in preventive controls
- Compliance as a competitive advantage (e.g., client trust, regulatory reputation)
- BCOs as business enablers—not blockers
- Final reflections: balancing risk-taking with regulatory boundaries

## Leadership Management

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### DELEGATE REGISTRATION FORM

#### Course fees

(Fees per participant)	Single	Group**
Normal fees	SGD 2,699	SGD 2,599
Early bird price*	SGD 2,499	SGD 2,399

\*Payment 30 days before commencement of the course

\*\*Minimum of 3 participants

The course fee includes

- 3 days of dedicated expert training
- Lunch and refreshments
- Copies of relevant course material

#### Venue Details

- All our training sessions are held in good locations, assuring a high level of comfort and a conducive learning environment.
- Due to variation in the number of participants, final venue details will be mailed 14 days before the course commences.
- Registration : 8:30 am
- Session timings: 9:00 am to 5:00 pm
- **Disclaimer:** Riverstone Training reserves the right to change the venue or postpone the course due to unforeseen circumstances.

#### Company Information

Company Name : \_\_\_\_\_  
 Address : \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 Contact Person : \_\_\_\_\_  
 Designation : \_\_\_\_\_  
 Email : \_\_\_\_\_  
 Phone : \_\_\_\_\_

#### Delegate Information

Name (1) : \_\_\_\_\_  
 Designation : \_\_\_\_\_  
 Email : \_\_\_\_\_  
 Phone : \_\_\_\_\_  
 Name (2) : \_\_\_\_\_  
 Designation : \_\_\_\_\_  
 Email : \_\_\_\_\_  
 Phone : \_\_\_\_\_

#### Payment Terms

- Full payment is required for seat confirmation.
- Make a crossed cheque or bank draft payable to **Riverstone SG Pte Ltd.**
- Mail your payment with this registration form to **Level 20, Tower 2, One Raffles Place, Singapore 048616.**
- Alternatively, you can do a bank transfer to Standard Chartered Bank Account no: 0105663336 (Bank no: 9496); Swiftcode: SCBLSG22.

#### Need in-house training on the same topic?

For in-house training on the same course or customized course, please contact us through

Email : [register@riverstonetraining.com.sg](mailto:register@riverstonetraining.com.sg)  
 Phone or : +65 9730 4250  
 WhatsApp

#### Cancellation Policy

- If you are unable to attend, a replacement delegate is always welcome.
- Any cancellation must be made in writing to Riverstone Training at least 14 days before the event date. A full refund, less an administration fee of SGD 150, will be given.
- No refunds will be given for written cancellations received less than 14 days before the event date. However, you will receive a 100% credit voucher that can be applied to any of our subsequent training courses within six months of the initial registration.