

*Webinar on*

# **Risk Management vs Compliance – Risk Management Case Studies**


# Learning Objectives

*Understanding the roles and responsibility of the Risk Management function*

*Understanding the roles and responsibility of the Compliance function*

*Identifying how the Risk Management and Compliance function differ*

*Identifying how the Risk Management and Compliance function can compliment each other*



*Utilizing actual case studies to reflect on various risk events, the consequences experienced from each risk event, the causes that brought about the risk event and the preventives that were lacking with respect to each risk event.*

*Utilizing these actual case studies to reconfirm the importance of having properly structured Risk Management and Compliance functions with qualified staffing that can help avoid risk events and their potential serious consequences.*

This webinar includes Risk Management and Compliance Management in terms of their roles and responsibilities and how the two functions differ in their mandates.

**PRESENTED BY:**

*Robert Geary is the founder of Greenwich Risk Management Advisory Services “LLC” and services as the principal consultant on many of the firm’s consultancy mandates. Robert holds a BA degree in Economics from Pace University and did graduate studies in finance at New York University Graduate School of Business.*

On-Demand Webinar

Duration : 60 Minutes

Price: \$200

# Webinar Description

All too often, people are confused or misunderstand what is Risk Management and what is Compliance. Most companies have both a Risk Management function and a Compliance function. For these functions to be effectively chartered in a company, it is firstly important for executive and senior management of the company to fully understand the differences between the two in terms of their respective roles and responsibilities. This then will support the construction of an operating framework for each that will provide the functions with the guidance required to carry out their respective duties as well as to complement each other in certain areas of oversight. To support the understanding of each function, the first segment of the presentation addresses the roles and responsibilities of each function and how they differ. The second segment of the presentation will then examine nine cases of risk episodes that companies/operating entities actually experienced. Each of these cases will demonstrate the Risk Management and Compliance deficiencies that contributed to the risk event experienced. It should be noted that these case studies in addition will provide very interesting insight into risk management in general.



# Who Should Attend ?

*This webinar will provide valuable assistance to executive/senior management as well as all personnel with responsibility for Risk Management and Compliance oversight responsibilities of a company's business activities and its functional units*

*Banks*

*Treasury Units (specifically)*

*Other Corporations*

*Treasury Units (specifically)*

*Auditing Functions*

*Investment Management Firms*

*Regulatory Oversight of Banks with respect to their Safeness and Soundness*

*Educational Programs at the University Level*

*Members of Board of Directors*

*Executive and Senior corporate managers*

*Business Managers*

*Risk Managers*

*Compliance Managers*

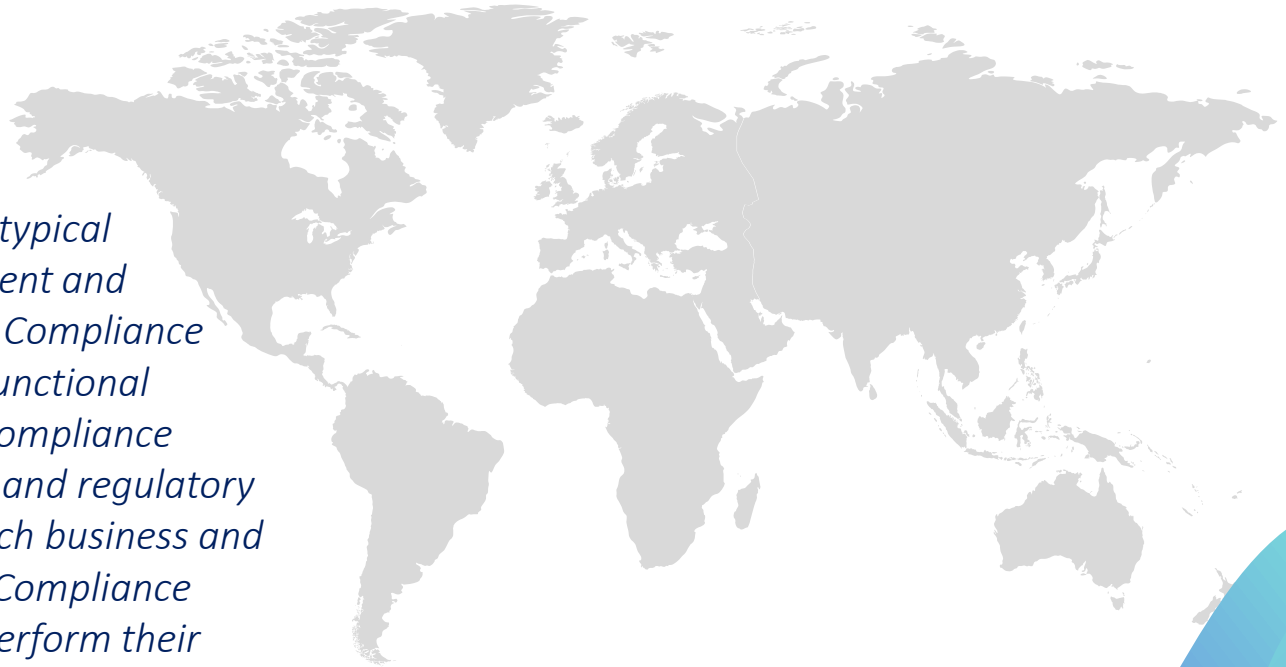
*University Risk Management Educators*

*Regulator Staff*



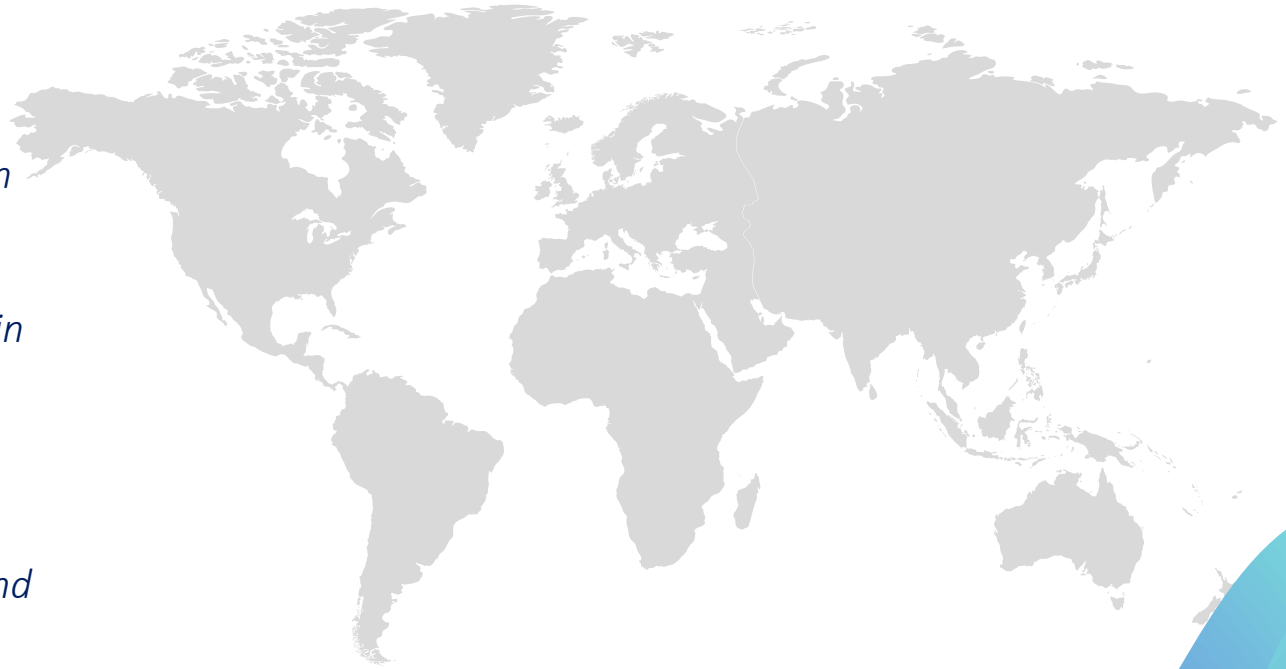
# Why Should Attend ?

*The Risk Management and Compliance functions are critical to the management oversight of a company's business activities and functional units. Although it is typical for a company to have corporate level Risk Management and Compliance functions, it is the Risk Management and Compliance functions in each of a company's business units and functional units that drive a company's Risk Management and Compliance oversight practices. There are risk elements and legal and regulatory requirements as well as policies that are unique to each business and functional unit. Therefore the Risk Management and Compliance functions of each business and functional unit must perform their responsibilities in the context of the organizations in which they reside., It is key that their Risk Management and Compliance functions are well versed in the undertakings of the business or functional unit in which they reside, their roles and responsibilities, the risks that can exist and the external and internal policies that must be adhered to. The operating practices of each Risk Management and Compliance function must therefore be designed to effectively oversee the activities of each business and function unit.*



*To fully understand Risk Management and Compliance Management in terms of their roles and responsibilities and how the two functions differ in their mandates. To then serve as a blueprint for the construction of operating directives for each function within each business.*

*It is important that qualified persons are positioned in each function and have the necessary training to carry out their oversight responsibilities. Another important component of the Risk Management and Compliance functions is management reporting, both at the business level and at the corporate level. The purpose of Risk Management and Compliance reporting is to keep management informed that a business or functional unit is operating in a safe and sound manner, to advise management of the presence of any risk conditions that may exist and any corrective actions being undertaken.*





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