MANAGING OPERATIONAL RISK IN TRADE FINANCE
Measuring, Monitoring and Mitigating Risk in a Trade Operations Environment

26th – 27th January 2015, KUALA LUMPUR

Highlights:
- Manage: Principles, controls and standards to manage operational risk
- Measure: Using industry best practices and proper instruments
- Monitor: Constructing a proper risk management framework
- Mitigate: Executing Key Control Self Audit techniques (KCSA)

Expert Course Director
Muhammad Imran
Certified Documentary Credit Specialist (CDCS)
Senior Associate of Institute Bankers of Malaysia (AIBM Sr)
MBA Finance by Multimedia University (MBA Finance)
Panel Reviewer for Professional Banker Examination by AICB
Appointed Member of Bar Council Malaysia

SIDC CPE - accredited: 10 CPE Points

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The Basel Committee on banking supervision has initiated significant work related to operational risk. Managing such risks is becoming an important feature of a sound risk management practice in modern financial markets and banking businesses. The most common types of operational risk involve breakdowns in internal controls and corporate governance. Such breakdowns can lead to financial losses through error, fraud, or failure to perform in a timely manner which may cause the interests of the bank to be compromised. Other risks include unethical or risky business practices by dealers, lending officers or other staff exceeding their authority, as well as major failures to information technology and natural disasters such as fires and floods.

This workshop will equip participants with the tools in managing operational risk in trade finance. It will start with an understanding of operational risk and move onto the common control mechanisms and accountability structure to manage and monitor these risks. It will also look at techniques to mitigate operational risk with practical examples and industry best practices.

Learning Objectives

Upon completion of the programme, participants will be able to:

- Understand what is operational risk
- Have an overview of operational risks that impact trade operations as a whole
- Establish common principles, controls & standards for the management in order to control the risks and behavior across trade organizations
- Understand a shared framework and language to improve awareness of risk management processes in trade processing
- Provide clear accountability and responsibility for risk management
- Understand KCSA (Key Control Self Audit) techniques & assurance level in order to mitigate operational risk in trade operations
- Implement and mitigate risks in trade operations

Who Should Attend

Anyone tasked with ensuring trade operations risks are mitigated, monitored and are being published to the right audience, Trade Operations Managers, Risk Team, Compliance Team, Auditors

Training Methodology

- Lectures and presentations
- Group discussions
- Best practices
- Question and answer

Expert Course Director

Mr Imran has more than 23 years of experience in the banking and finance industry, specializing in trade services. His expertise covers international trade finance, guarantees, operational risk, commercial trade facilities, trade operations and trade sales. Since 1990 he has worked with various international banks including HSBC and Standard Chartered Bank. He has held the positions of Head of Training and Development, as well as Senior Manager for Operational Risk for Scope International, Standard Chartered Group’s global technology and operations hub. In the past 10 years, as the Senior Manager he managed trade businesses & operations covering the Asia Pacific region, UK and US. Mr Imran is a corporate banking practitioner and has significant experience in conducting in-house and public courses on letters of credit, commercial trade facilities, case studies in International trade finance, financing for SMEs, risk in international trade, trade finance for marketing staff, operational risk in trade finance and many other related topics. Since 1998 Mr Imran has served as a tutor for international trade finance at Institute Bank-Bank Malaysia (IBBM) on the Diploma in Banking and Financial Services. He was appointed as a panel reviewer for the Professional Bankers examination by Asian Institute of Chartered Bankers (AICB). He also acts as a Special Advisor for Fadilah & Hood, a law firm specializing in the areas of international trade and banking operations. Mr Imran is a Certified Documentary Credit Specialist (CDCS) and a Senior Associate of IBBM. He holds a Master's Degree in Business Administration specializing in finance from the Multimedia University. In addition, Mr Imran has served as a member of the Investigating Tribunal Panel for Advocates & Solicitors Disciplinary Board (Bar Council Malaysia) since 2005.

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Course Outline

Day one

How do we manage Operational Risks in Trade Operations?
- Q1: If we secure “green” audit ratings – are we 100% free from risks?
- Q2: How do I know risks are well controlled?
- Q3: What are the risks that we are measuring?
- Q4: How do I know that someone is checking the risk areas?
- Q5: Is there a possibility that staff do not report ‘near misses’, operational losses, complaints – those which need to reach the head of department?

Morning Refreshments

Practical Session
Eleven important questions senior management pose to Trade Operations.

Review of Operational Risk
- What is operational risk?
- Why do we need to measure operational risk?
- Why is it important that we manage it well?
- Current changes in the industry

Lunch

Overview of Operational Risk Management Assurance Framework
- Key objectives
- Purpose of the framework
- Structure and composition
- Governance role and responsibilities
- Assurance

Afternoon Tea Break

Risk Management Process in Trade Operations
- Trade operational risks
- Potential impacts to trade operations – bank as a whole?
- Mitigating risks and remedial actions
- Monitoring risk variables

End of Day 1

Day two

Control Structure
- Adopting the appropriate ‘Operational Risk Grading Model’
- Tools to identify operational risk in trade operations
- Understanding the control structure and its components

Morning Refreshments

Understanding the risks associated with Trade Products and Services
- Developing a ‘Risk Identification Tool Kit’
- Key control self-assessment checks
- Utilising control self-assessment checks in Trade operations

Lunch

Managing and Measuring Operational Risk in Trade Operations
- Measuring a Business Continuity Plan (BCP)
- Measuring operational loss and escalation policy
- Treatment of operational loss
- Performing Root Cause Analysis (RCA)
- Measuring operational risk for trade operations – best practices and processes

Afternoon Tea Break

Industry Best Practices
- Ensuring no breach on data confidentiality
- Impact of sanctions for trade operations
- Implementing the risk scorecard for trade operations.

Practical Session
Methodology of measuring risks in trade operations

Q&A

Closing
BOOKING DETAILS

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Early bird offer: registrations received on or before 29th December 2014 shall attract a 2.5% discount. No discounts shall be given to registrations received after this cut-off.

Please note: A late booking fee of MYR 150 will be imposed on registration received within 14 days of the course start date. Fees include training materials, refreshments and lunch. Accommodation is not included.

DELEGATE DETAILS

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WHO TO INVOICE AND CONTACT?

Please tell us who we should invoice. It is also helpful for us to have the name of an administrator with whom we can liaise directly.

Contact person for invoicing: ___________________________ Job Title: ___________________________

Email: ___________________________ Tel: ___________________________ Fax: ___________________________

Contact person to send administration details: ___________________________ Email: ___________________________ Tel: ___________________________

Payment can be made by cheque or bank transfer. A notification will be sent to you once payment has been received.

I wish to pay by: ❑ Cheque/bankers draft ❑ Telegraphic transfer ❑ Credit Card

Please note all telegraphic transfer fees, taxes and levies (domestic or otherwise) shall be borne by the sponsoring organization. Payment made by foreign cheque will be charged additional bank fees of 1% of the invoice amount.

APPROVING MANAGER

To process your registration we require the name and signature of a manager who is authorized by your organization to approve training expenditure.

Name: ___________________________ Job Title: ___________________________

Organization name: ___________________________ Email: ___________________________ Tel: ___________________________

Authorizing signature ___________________________ (mandatory)

Yes, I have read and understood the booking and cancellation policy below.

SEND US YOUR REGISTRATION!

By email: enquiry@REDmoneytraining.com By fax: +603 2162 7810
You may also book online at http://www.REDmoneytraining.com
Please call us on: +603 2162 7800 or +603 2162 7802 if you require assistance.
Our address is: REDmoney, Suite 22-06, 22nd Floor, Menara Tan & Tan, 207, Jalan Tun Razak, 50400 Kuala Lumpur

Booking, Payment and Cancellation Policy – important, please read carefully

By completing, signing and sending us this registration form you are confirming delegate places on the course. You are also confirming your understanding of our Booking, Payment and Cancellation Policy.

Cancellation: If delegates cannot attend the course replacement participants are always welcome. Otherwise delegates must request in writing (letter, fax or email) to cancel registration/s or transfer to a different course at least 21 days before the course start date to be eligible for a refund, less a 5% administration fee. Delegates who cancel within 21 days of the course start date, or who do not attend, are liable to pay the full course fee and no refunds will be given. Instead fees will be converted to a REDmoney Training course voucher equivalent to the original fee, less a 15% administration charge. This voucher is transferable within your organization and must be redeemed within one year of issue or become void. If a course is postponed for whatever reason delegate bookings will be automatically transferred to the new course date. Delegates who wish to transfer to a different course will be subject to the same terms as above and charged the difference in course fees. No refunds or course vouchers will be issued for a no-show.

Payment Terms: All course fees are to be received before the course start date. REDmoney shall receive the full course fee with no deductions of any description. All telegraphic transfer fees, taxes and levies (domestic or otherwise) shall be borne by the sponsoring organization.

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