



Accredited Africa Training Institute for Capacity Development

Unit FO409, Hatfield Plaza · 1122 Burnett St, Hatfield 0028 · Pretoria, Gauteng · South Africa

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COURSE BROCHURE

Financial Compliance

Custom Courses / Accounting and Finance

Unit Standard AATICD-0164 · NQF Level 5 · 10 Credits · 5 Days

COURSE OVERVIEW

This course equips learners with the knowledge and skills to ensure financial compliance within an organization. It covers the legal and regulatory framework governing financial practices, internal controls, and ethical standards. Participants will learn to identify, interpret, and apply relevant financial legislation to mitigate risk and promote accountability.

Category	Custom Courses
Subfield	Accounting and Finance
Unit Standard	AATICD-0164
Accreditation	SAQA Accredited · NQF Level 5 · 10 Credits
Duration	5 days
Training Method	Online, On-Campus, In-House
Certificate	Issued via AATICD LMS – verifiable online

LEARNING OUTCOMES

- Interpret key financial legislation and regulatory requirements applicable to the organization.
- Apply internal control measures to ensure financial transactions are accurate and compliant.
- Analyze financial records to identify discrepancies and potential compliance risks.
- Implement corrective actions to address non-compliance issues effectively.
- Demonstrate ethical conduct in financial reporting and decision-making.
- Evaluate the effectiveness of existing compliance systems and recommend improvements.

WHO SHOULD ATTEND

- This course is designed for finance professionals, managers, and compliance officers who are responsible for financial governance in their organizations.
- It is also suitable for entrepreneurs and small business owners seeking to understand their financial compliance obligations.

COURSE OUTLINE

Day 1: Introduction to Financial Compliance

- What is financial compliance?
- Overview of the Financial Sector Regulation Act (FSRA)
- Key regulators: SARB, FSCA, PRASA
- The Companies Act and King IV Code
- Consequences of non-compliance: penalties, reputational damage
- Introduction to compliance frameworks and risk-based approach
- Ethical considerations in financial compliance
- Case study: recent compliance failures in South Africa

Day 2: Regulatory Frameworks and Key Legislation

- FAIS: licensing, fit and proper requirements
- FICA: customer due diligence, record-keeping
- POPIA: processing of personal information, consent
- AML/CTF: suspicious transaction reporting
- The role of the Compliance Institute of South Africa
- Practical exercises on FICA documentation
- Group discussion: implementing POPIA in a financial institution

Day 3: Compliance Risk Management and Internal Controls

- Compliance risk identification and assessment techniques
- The three lines of defence model
- Designing internal controls: preventive and detective
- Control testing and monitoring
- Compliance risk reporting
- Case study: developing a risk register
- Workshop: drafting a compliance risk management plan

Day 4: Compliance Monitoring, Reporting, and Auditing

- Compliance monitoring: key indicators and dashboards
- Reporting requirements: statutory and internal
- The compliance audit lifecycle
- Audit evidence and documentation
- Handling non-compliance and corrective action plans
- Role-play: audit exit meeting
- Practical exercise: drafting a compliance report

Day 5: Practical Integration and Assessment

- Integrating compliance into business strategy
- Ethical dilemmas and decision-making
- Emerging trends: RegTech, ESG compliance
- Review of key concepts
- Summative assessment (written test and case study)
- Feedback and discussion
- Action plan development

ASSESSMENT & CERTIFICATION

Delegates are assessed through exercises and a final test. A mark of **50% or above** earns an **AATICD Certificate of Completion**, issued digitally with a unique verification code. This course carries **10 NQF credits** at **NQF Level 5**.

PRICING (PER DELEGATE, EX-VAT)

Delegates	Training Method	Price per Delegate	Total
1	Online	R 17,700.00	R 17,700.00
1	In-House	R 23,100.00	R 23,100.00
1	On-Campus (Pretoria)	R 26,700.00	R 26,700.00

UPCOMING SESSIONS

Start	End	Method	Venue
24 Aug 2026	28 Aug 2026	On-Campus	Victoria Falls, Zimbabwe
24 Aug 2026	28 Aug 2026	On-Campus	Bangkok, Thailand
31 Aug 2026	04 Sep 2026	On-Campus	Lusaka, Zambia
31 Aug 2026	04 Sep 2026	On-Campus	London, UK
07 Sep 2026	11 Sep 2026	On-Campus	Mauritius
07 Sep 2026	11 Sep 2026	On-Campus	Pretoria, South Africa
07 Sep 2026	11 Sep 2026	On-Campus	Abu Dhabi, UAE
07 Sep 2026	11 Sep 2026	On-Campus	Harare, Zimbabwe

Contact us if no suitable date is listed – on-demand sessions can be arranged for groups.

HOW TO GET A QUOTE OR APPLY

- 1. Get an instant quotation online:** visit www.aaticd.co.za, open the page for this course (Unit Standard AATICD-0164) and click **Get A Quote / Apply**. Select your training method and number of delegates – your quotation is generated immediately and emailed to you with the course brochure attached.
- 2. Apply by email:** send the course title, your preferred training method (Online, In-House or On-Campus Pretoria), the number of delegates and your preferred dates to apply@aaticd.co.za – our team will reply with a formal quotation.
- 3. Apply by phone or WhatsApp:** call **+27 12 004 8389** or WhatsApp **+27 65 077 6310** and we will prepare your quotation and reserve your seats.
- 4. Confirm your booking:** accept the quotation and settle the invoice. As soon as payment is confirmed your delegates are enrolled and receive their AATICD LMS login details by email, along with joining instructions for their chosen training method.

Group discounts apply automatically – the more delegates you enrol, the lower the price per delegate. No payment is required to request a quotation.

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