



RISK, COMPLIANCE AND AML TRAINING

Conduct Risk and Market Abuse

3 day course

Classroom, online or in-house

Course overview

Conduct failures rarely involve anybody deciding to do something wrong; they involve incentives, pressure and a definition of acceptable that drifted, which is why they are invisible on a control checklist. This course addresses that. Delegates work through conduct risk and its drivers including remuneration and target setting, customer outcomes and the point at which a sale becomes unsuitable, and conflicts of interest and their management. Market abuse is covered specifically: insider dealing, unlawful disclosure and manipulation, with the behaviours that constitute each. Surveillance, control room and information barrier arrangements follow. The course closes on culture measurement, on personal account dealing, and on investigating a suspected conduct breach.

What you will learn

- Identify conduct risk drivers including incentives and target setting
- Assess customer outcomes and recognise an unsuitable sale
- Manage conflicts of interest rather than merely disclose them
- Define insider dealing, unlawful disclosure and market manipulation
- Operate surveillance, control room and information barrier arrangements
- Govern personal account dealing
- Investigate a suspected conduct breach

Who should attend

- Compliance and conduct risk staff in financial services
- Front office supervisors and desk heads
- Internal audit and control staff
- Human resources staff designing incentives
- Regulators and supervisory personnel

Course outline

- 01 Nobody decided to do anything wrong
- 02 Conduct risk and its drivers
- 03 Incentives, targets and pressure
- 04 Customer outcomes and suitability
- 05 Conflicts of interest
- 06 Insider dealing and unlawful disclosure
- 07 Market manipulation and surveillance
- 08 Information barriers, personal dealing and investigation

Upcoming dates

Dates	Venue	Format	Fee per delegate
25 to 27 November 2026	Online	Online	R6,500
28 to 30 December 2026	Maputo, Mozambique	Classroom	USD 995
3 to 5 March 2027	Maseru, Lesotho	Classroom	R14,950

Fees and how to register

This 3 day course is **R6,500** per delegate online, **R14,950** in the classroom in South Africa, Botswana, Namibia,



Lesotho and Eswatini, and **USD 995** in the classroom elsewhere in Africa. In-house training is quotation on request. Book 2 or more delegates on this course and save 10%.

To register or request an in-house proposal, visit www.afrisciencegroup.com, email info@afriscience.co.za, or WhatsApp us on **+27 63 479 1136**.

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