Datastat Research
Building Capacity in Training and Research

DATASTAT TRAINING IN

OFFICIAL COURSE PROSPECTUS

Center for Advanced Research & Professional Development

Nairobi Training Center • Global Virtual Academy • Corporate On-Site

ACCOUNTING AND FINANCE

Financial Services Licensing and Regulatory Risk Management Training Course

Comprehensive Course Syllabus, Practical Modules & Upcoming Schedules

PROGRAM SPECIFICATIONS & HIGHLIGHTS

DURATION
5 Days Practical Hands-on

DELIVERY MODES
In-Person Class & Live Virtual

CERTIFICATION
Accredited Certificate of Completion

INTAKES / DATES
Multiple Cohort Schedules Included

PREPARED FOR:

Valued Participant

Email: training@datastatresearch.org | Issued: November 25, 2026

Academic & Professional Training Year: 2026

DATASTAT TRAINING INSTITUTE

P.O. Box 102802-00101, Nairobi, Kenya

Training Centers: Nairobi • Mombasa • Kigali • Dubai • Live Virtual Academy

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Email: training@datastatresearch.org

www.datastatresearch.org

Financial Services Licensing and Regulatory Risk Management Training Course

Accounting and Finance • 5 Days Intensive • Accredited Certification

Course Overview

Financial Services Licensing and Regulatory Risk Management Training Course provides comprehensive knowledge and practical skills for navigating financial services licensing frameworks, regulatory compliance requirements, and risk management obligations.

Key Skills & Software Tools Covered

MS Word • Microsoft Dynamics 365 Finance • Wolters Kluwer OneSumX • and IBM OpenPages

Upcoming Training Schedules

Confirmed cohort intakes and venues. Both physical in-person classroom and live virtual online seats are available.

TRAINING DATES	LOCATION / VENUE	FORMAT / DURATION	INVESTMENT (FEE)
30 Nov 2026 – 4 Dec 2026	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
7 Dec 2026 – 11 Dec 2026	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
14 Dec 2026 – 18 Dec 2026	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
21 Dec 2026 – 25 Dec 2026	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
28 Dec 2026 – 1 Jan 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
4 Jan 2027 – 8 Jan 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
11 Jan 2027 – 15 Jan 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
18 Jan 2027 – 22 Jan 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
25 Jan 2027 – 29 Jan 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
1 Feb 2027 – 5 Feb 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
8 Feb 2027 – 12 Feb 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
15 Feb 2027 – 19 Feb 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
22 Feb 2027 – 26 Feb 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
1 Mar 2027 – 5 Mar 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
8 Mar 2027 – 12 Mar 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
15 Mar 2027 – 19 Mar 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
22 Mar 2027 – 26 Mar 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
29 Mar 2027 – 2 Apr 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
5 Apr 2027 – 9 Apr 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
12 Apr 2027 – 16 Apr 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
19 Apr 2027 – 23 Apr 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
26 Apr 2027 – 30 Apr 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**

3 May 2027 – 7 May 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
10 May 2027 – 14 May 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
17 May 2027 – 21 May 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
24 May 2027 – 28 May 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
31 May 2027 – 4 Jun 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
7 Jun 2027 – 11 Jun 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
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2 Aug 2027 – 6 Aug 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
9 Aug 2027 – 13 Aug 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
16 Aug 2027 – 20 Aug 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
23 Aug 2027 – 27 Aug 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
30 Aug 2027 – 3 Sep 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
6 Sep 2027 – 10 Sep 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
13 Sep 2027 – 17 Sep 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
20 Sep 2027 – 24 Sep 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
27 Sep 2027 – 1 Oct 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
4 Oct 2027 – 8 Oct 2027	Nairobi	Classroom / 5d	**$1,500 USD / KES 110,000**
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* Corporate discounts and customized cohort scheduling are available for teams of 3 or more participants.

Course Curriculum & Modules

Financial Services Licensing and Regulatory Risk Management Training Course

Introduction

Financial Services Licensing and Regulatory Risk Management Training Course provides comprehensive knowledge and practical skills for navigating financial services licensing frameworks, regulatory compliance requirements, and risk management obligations. The course examines financial regulatory frameworks, licensing procedures, prudential supervision, governance standards, anti-money laundering controls, consumer protection, and regulatory reporting. Participants will gain practical insights into financial sector regulation, regulatory technology (RegTech), compliance monitoring, operational risk management, and emerging financial risks affecting banks, insurance companies, fintech firms, microfinance institutions, and other regulated financial service providers.

The course also explores international regulatory standards and global best practices, including Basel frameworks, Financial Action Task Force (FATF) recommendations, and International Organization of Securities Commissions (IOSCO) principles. Through practical exercises and global case studies, participants will learn how to prepare licensing applications, assess regulatory risks, strengthen internal controls, manage supervisory examinations, and respond to regulatory changes. The programme emphasizes risk-based compliance, digital financial services regulation, regulatory governance, and sustainable financial sector development.

Course Objectives

By the end of this course, participants will be able to:

- Understand financial services licensing frameworks and regulatory requirements.
- Develop effective regulatory compliance and risk management strategies.
- Interpret international financial regulatory standards and supervisory guidelines.
- Prepare comprehensive financial services licensing applications.
- Strengthen anti-money laundering and counter-terrorism financing controls.
- Identify, assess, and mitigate financial and operational risks.
- Implement effective corporate governance and accountability frameworks.
- Enhance regulatory reporting and prudential compliance systems.
- Apply risk-based supervision and compliance monitoring techniques.
- Understand fintech regulation and digital financial services compliance.
- Strengthen consumer protection and financial market integrity.
- Manage regulatory inspections, investigations, and enforcement actions.
- Integrate RegTech solutions into regulatory compliance operations.

Organizational Benefits

- Improved regulatory compliance and licensing performance.
- Reduced exposure to regulatory penalties and financial losses.
- Stronger corporate governance and institutional accountability.
- Enhanced operational risk identification and mitigation.
- Improved regulatory reporting and transparency.
- Stronger anti-money laundering and fraud prevention systems.
- Increased organizational readiness for regulatory inspections.
- Better management of emerging fintech and digital finance risks.
- Improved customer confidence and stakeholder relationships.
- Sustainable financial operations and regulatory resilience.

Target Audiences

- Banking and financial services executives.
- Compliance officers and regulatory affairs professionals.
- Risk management officers and internal auditors.
- Fintech founders and digital financial services managers.

- Insurance and microfinance institution managers.
- Legal practitioners and financial regulatory consultants.
- Central bank and financial supervisory personnel.
- Corporate governance and financial operations professionals.

Course Duration: 5 days

Course Modules

Module 1: Financial Services Regulatory Frameworks and Licensing Fundamentals

- Overview of financial services regulatory structures and supervisory authorities.
- Types of financial institutions and licensing classifications.
- Licensing eligibility, minimum capital, and ownership requirements.
- Regulatory governance and institutional accountability.
- Licensing case study: Kenya's Central Bank licensing and supervision framework.
- Global case study: UK Financial Conduct Authority authorization requirements.

Module 2: Licensing Applications and Approval Procedures

- Regulatory application documentation and submission requirements.
- Fit-and-proper assessments for directors and senior management.
- Business plans, financial projections, and operational readiness.
- Licensing approval, renewal, variation, and withdrawal procedures.
- Case study: Singapore's Monetary Authority financial institution licensing framework.
- Practical exercise: Preparing a regulatory licensing application checklist.

Module 3: Prudential Regulation and Financial Risk Management

- Capital adequacy, liquidity management, and solvency requirements.
- Credit, market, operational, and liquidity risk assessment.
- Stress testing and financial resilience frameworks.
- Risk appetite statements and enterprise risk management.
- Case study: Basel III capital and liquidity requirements in international banking.
- Practical exercise: Developing a financial institution risk assessment matrix.

Module 4: Regulatory Compliance, AML and CFT Frameworks

- Regulatory compliance programmes and internal control systems.
- Anti-money laundering and counter-terrorism financing requirements.
- Customer due diligence and Know Your Customer procedures.
- Suspicious transaction monitoring and regulatory disclosures.
- Case study: FATF international standards and financial crime compliance.
- Practical exercise: Designing a risk-based AML compliance framework.

Module 5: Corporate Governance and Regulatory Accountability

- Board responsibilities and regulatory governance structures.
- Internal audit, compliance functions, and independent oversight.
- Conflicts of interest and ethical financial management.
- Regulatory accountability and senior management responsibilities.
- Case study: Basel Committee corporate governance principles for banks.
- Practical exercise: Developing a regulatory governance compliance checklist.

Module 6: Fintech Licensing and Digital Financial Services Regulation

- Licensing requirements for fintechs and digital financial providers.
- Mobile money, electronic payments, and digital banking regulation.
- Cybersecurity, data privacy, and technology risk management.
- Regulatory sandboxes and innovation supervision.
- Case study: Singapore's regulatory sandbox and fintech supervision.

- Practical exercise: Assessing regulatory risks in a digital financial services business.

Module 7: Regulatory Reporting, Supervision and Enforcement

- Prudential reporting and statutory disclosure requirements.
- Regulatory examinations and supervisory assessment procedures.
- Compliance monitoring and regulatory inspection preparation.
- Enforcement actions, penalties, and remediation strategies.
- Case study: European Central Bank supervisory review and evaluation processes.
- Practical exercise: Preparing a regulatory reporting and inspection readiness framework.

Module 8: Emerging Regulatory Risks and Strategic Compliance Management

- Emerging financial risks and evolving regulatory expectations.
- Environmental, social, and governance regulatory considerations.
- Artificial intelligence and regulatory technology applications.
- Regulatory change management and compliance automation.
- Case study: European Union Markets in Crypto-Assets regulatory framework.
- Practical exercise: Developing a strategic regulatory risk management roadmap.

Training Methodology

- Expert-led presentations and interactive regulatory discussions.
- Practical licensing application preparation exercises.
- Financial risk assessment simulations and group assignments.
- International regulatory case studies and comparative analysis.
- Role-playing exercises involving supervisory inspections.
- Group discussions on emerging fintech and compliance challenges.
- Practical demonstrations of regulatory technology and compliance monitoring tools.

Register as a group from 3 participants for a Discount

Send us an email: info@datastatresearch.org or call +254724527104

Certification

Upon successful completion of this training, participants will be issued with a globally- recognized certificate.

Tailor-Made Course

We also offer tailor-made courses based on your needs.

Key Notes

a. The participant must be conversant with English.

b. Upon completion of training the participant will be issued with an Authorized Training Certificate

c. Course duration is flexible and the contents can be modified to fit any number of days.

d. The course fee includes facilitation training materials, 2 coffee breaks, buffet lunch and A Certificate upon successful completion of Training.

e. One-year post-training support Consultation and Coaching provided after the course.

f. Payment should be done at least a week before commence of the training, to DATASTAT CONSULTANCY LTD account, as indicated in the invoice so as to enable us prepare better for you.

Certification & Learning Methodology

- Hands-on practical delivery with real-world datasets, case studies, and lab exercises.
- Post-training mentorship, access to class resources, and customized follow-up support.
- Participants who successfully complete the course receive an accredited Datastat Certificate of Completion.

How to Enroll & Reserve Your Seat

1. Online Registration: Visit https://datastatresearch.org/courses/financial-services-licensing-and-regulatory-risk-management-training-course to register online.
2. Email Booking: Send participant details to training@datastatresearch.org for official invoice & reservation.
3. Support & Assistance: Inquire via phone +254 724 527 104 | +254 734 969 612.