



AUDITING AND GOVERNANCE RISK AND COMPLIANCE | AGRC-012

# Investment Auditing

## UK

+44 33 000 111 90  
info@informatelch.co.uk  
<https://informatelch.uk>  
63-66 Hatton Garden Hatton Garden  
EC1N 8LE, London

## NL

+31 85 74 444 46  
info@informatelch.nl  
<https://informatelch.nl>  
Waarderweg 50 - 2031PB  
Haarlem - Netherlands



# Course content

## Why Attend

Why Attend Investment activities involve complex financial instruments, operational risks, regulatory requirements, and governance responsibilities. This course provides participants with practical auditing techniques and control frameworks for assessing investment activities, strengthening risk management, evaluating compliance, and improving the effectiveness of investment oversight and assurance processes.

**Course Methodology** The course uses an interactive methodology combining practical exercises, case studies, workshops, discussions, audit simulations, financial analysis activities, and real-world investment auditing scenarios.

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

- Understand the investment environment and governance frameworks
- Apply auditing techniques to different investment products and portfolios
- Evaluate investment valuation methods and operational controls
- Assess investment risks and regulatory compliance requirements
- Apply analytical and forensic techniques in investment audits
- Improve reporting effectiveness and audit recommendations
- Strengthen oversight of investment management activities

## Target Audience

- Internal and external auditors
- Risk management professionals
- Compliance officers
- Finance and investment professionals
- Audit managers and supervisors
- Governance professionals
- Professionals responsible for investment oversight and assurance



# Course content

## Target Competencies

- Investment auditing
- Risk assessment and management
- Financial analysis
- Regulatory compliance
- Internal control evaluation
- Data analysis and reporting
- Fraud detection techniques
- Governance and assurance practices

## Course outline

### Day 1: Investment Environment and Governance Foundations

- Understanding investment markets, structures, and investment ecosystems
- Reviewing investment policy frameworks and evaluation techniques
- Examining governance structures supporting investment activities
- Understanding fiduciary duties and responsibilities within investment management
- Identifying critical indicators affecting investment performance and risk
- Case study exercise on evaluating investment governance structures

### Day 2: Investment Instruments and Valuation Techniques

- Applying auditing approaches to fixed-income investment products
- Understanding evaluation methods for equity-based investments
- Reviewing risk assessment approaches for alternative investments
- Examining derivatives and complex investment products from an audit perspective
- Understanding fair value assessment principles and methodologies



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## Course outline

- Practical workshop on investment valuation testing techniques

### **Day 3: Investment Operations and Internal Controls**

- Understanding investment transaction processing and settlement activities
- Reviewing portfolio reconciliation procedures and asset valuation calculations
- Examining management fees and expense verification approaches
- Assessing custody structures and asset safeguarding processes
- Evaluating performance measurement and attribution techniques
- Workshop on testing operational controls within investment functions

### **Day 4: Risk Management and Compliance in Investment Activities**

- Identifying and assessing market-related risks
- Understanding credit and counterparty risk assessment techniques
- Reviewing liquidity management and monitoring approaches
- Understanding regulatory frameworks affecting investment operations
- Examining anti-money laundering and customer verification requirements
- Case study on integrated investment risk assessment methodologies

### **Day 5: Advanced Audit Techniques and Effective Reporting**

- Applying data analytics techniques within investment auditing activities
- Understanding forensic methods for identifying irregularities and fraud indicators
- Applying root-cause analysis for audit findings and control weaknesses
- Strengthening audit reporting and communication techniques
- Understanding effective reporting practices for management and audit committees
- Developing personal action plans for professional growth and capability enhancement



# Seminar dates

## Available seminar dates

Live dates and pricing for Investment Auditing generated from the course details page.

| Date                      | Location         | Format                                    | Fee               |
|---------------------------|------------------|-------------------------------------------|-------------------|
| Dates on request          | Venue on request | Classroom                                 | <b>Contact us</b> |
| <b>Live online option</b> |                  | Online delivery is available at €1,850.-. |                   |