



AUDITING AND GOVERNANCE RISK AND COMPLIANCE

Investment Auditing

Course code: AGRC-012

SPARK TRAINING

Professional training courses for leaders, specialists, and organizations seeking practical capability development.

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— Workshop Overview

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.

Why Attend

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

Who Should Attend

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

— Learning Objectives

- 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

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
- 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

— Upcoming Classroom Dates

DATE	LOCATION	FEE
5 - 9 October 2026	London - United Kingdom	€2,100
12 - 16 October 2026	Kuala Lumpur - Malaysia	€1,425
9 - 13 November 2026	Amsterdam - Netherlands	€2,125
16 - 20 November 2026	London - United Kingdom	€2,100
7 - 11 December 2026	Barcelona - Spain	€1,925
14 - 18 December 2026	Munich - Germany	€2,125
21 - 25 December 2026	London - United Kingdom	€2,100
4 - 8 January 2027	Istanbul - Türkiye	€1,600

— Certificate and Registration

Participants who attend and complete the full programme receive a SPARK Training Certificate of Completion. For registration, in-house delivery, or availability questions, contact info@sparktraining.eu or +31 85 115 0004.