informatech



AUDITING AND GOVERNANCE RISK AND COMPLIANCE | AGRC-012

Investment Auditing

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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



Course content

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
9 - 13 November 2026	Amsterdam - Netherlands	Classroom	**€3,400.-**
16 - 20 November 2026	London - U.K	Classroom	**€3,360.-**
7 - 11 December 2026	Barcelona - Spain	Classroom	**€3,080.-**
14 - 18 December 2026	Munich - Germany	Classroom	**€3,400.-**
21 - 25 December 2026	London - U.K	Classroom	**€3,360.-**
4 - 8 January 2027	Istanbul - Turkey	Classroom	**€2,560.-**
1 - 5 February 2027	Cape Town - South Africa	Classroom	**€2,272.-**
1 - 5 March 2027	Barcelona - Spain	Classroom	**€3,080.-**
5 - 9 April 2027	Frankfurt - Germany	Classroom	**€2,600.-**
3 - 7 May 2027	Kuala lumpur - Malaysia	Classroom	**€1,800.-**
7 - 11 June 2027	Amsterdam - Netherlands	Classroom	**€3,400.-**
5 - 9 July 2027	London - U.K	Classroom	**€3,360.-**
2 - 6 August 2027	Kuala lumpur - Malaysia	Classroom	**€1,800.-**
6 - 10 September 2027	Amsterdam - Netherlands	Classroom	**€3,400.-**
4 - 8 October 2027	London - U.K	Classroom	**€3,360.-**
1 - 5 November 2027	Barcelona - Spain	Classroom	**€3,080.-**
6 - 10 December 2027	Munich - Germany	Classroom	**€3,400.-**