

AUDITING AND GOVERNANCE RISK AND COMPLIANCE | COURSE BROCHURE

Investment Auditing

5 days | Classroom training | English

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Course content

Why attend

Investment Auditing focuses on evaluating investment portfolios to ensure compliance, performance, and risk management. This course equips professionals with the skills to assess investment strategies, identify discrepancies, and enhance decision-making processes in financial auditing contexts.

Investment professionals face increasing scrutiny regarding the performance and compliance of their portfolios. Understanding how to conduct thorough investment audits is essential for identifying inefficiencies and ensuring adherence to regulations. This course addresses these critical workplace challenges, empowering participants to enhance their auditing practices while developing the capability to make informed decisions based on audit findings. Participants will learn to navigate complex regulatory environments, assess investment performance against benchmarks, and communicate effectively with stakeholders about compliance issues and risk management strategies, ultimately improving their organisations' financial integrity.
Participants will engage in practical exercises that simulate real-world investment auditing scenarios. By analysing case studies and applying auditing frameworks, they will develop the ability to assess investment performance, identify risks, and recommend improvements. This hands-on approach ensures that attendees can directly apply their learning to their roles, enhancing their effectiveness in investment auditing. They will practice drafting audit reports, conducting risk assessments, and presenting findings, thereby building a comprehensive skill set that is directly applicable to their professional responsibilities. This course ultimately prepares participants to contribute significantly to their organisations' investment strategies and compliance efforts, fostering a culture of accountability.

Professional Problems This Course Is Designed to Solve

- Difficulty translating subject knowledge into practical workplace decisions.
- Inconsistent approaches to the activities covered in the course outline.
- Lack of a structured plan for applying and reviewing new skills.

Course methodology

The course employs a blend of interactive workshops, case studies, and simulations to build practical auditing skills. Participants will work in groups to analyse fictional investment portfolios, applying established auditing frameworks and methodologies. Each day includes specific exercises that require participants to gather and evaluate data, assess compliance, and develop actionable recommendations. Outputs will include detailed audit reports, risk assessment matrices, and presentations summarising findings. This structured approach ensures participants not only understand theoretical concepts but also gain hands-on experience in applying these principles to real-world scenarios, reinforcing their learning and capability development throughout the course. Participants will leave with tangible skills that can be immediately applied in their professional roles.



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Course objectives

By the end of this course, participants will be able to:
• Analyse investment portfolios to identify compliance issues and performance discrepancies.
• Evaluate risk management strategies within investment audits to enhance decision-making.
• Construct detailed audit reports that summarise findings and recommendations for stakeholders.
• Prioritise key areas of concern in investment portfolios based on audit findings.
• Diagnose potential risks in investment strategies using quantitative analysis techniques.
• Justify recommendations for improvements in investment auditing processes based on best practices.

Target audience

This course is suitable for:
• Investment Auditors responsible for evaluating portfolio performance and compliance.
• Financial Analysts focusing on risk assessment and investment strategy evaluation.
• Compliance Officers ensuring adherence to regulatory standards in investment practices.
• Portfolio Managers seeking to enhance their understanding of auditing processes.

Target competencies

Participants will develop competencies in:
• Conduct thorough investment portfolio analyses for compliance and performance.
• Apply risk assessment techniques to identify potential investment issues.
• Develop comprehensive audit reports that communicate findings effectively.
• Utilise quantitative methods to support investment auditing decisions.
• Implement best practices in investment auditing to enhance organisational compliance.
• Collaborate with stakeholders to address audit findings and recommendations.

Course outline

Day 1: Foundations of Investment Auditing

Applied activity: Participants will review a fictional investment portfolio and identify key compliance requirements and performance indicators. They will discuss their findings in groups, focusing on areas of concern and potential improvements based on their analysis.
Output: A summary report highlighting compliance issues, performance indicators, and suggested actions.

09:00–09:54	Introduction to investment auditing concepts and frameworks, focusing on compliance and performance.



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09:54–10:48	Understanding regulatory requirements for investment audits, including key legislation and standards.
10:48–11:00	Key performance indicators (KPIs) for investment portfolios and their relevance in audits.
11:00–11:30	**Coffee break**
11:30–12:12	Key performance indicators (KPIs) for investment portfolios and their relevance in audits. (continued)
12:12–13:06	Overview of risk management in investment contexts, including types of risks and their implications.
13:06–14:00	Tools and technologies used in investment auditing, such as software for data analysis and reporting.

Day 2: Analysing Investment Performance

Applied activity: Using a provided case study, participants will analyse the investment performance of a fictional portfolio, applying quantitative methods to identify discrepancies and areas for improvement. They will present their findings to the group.
Output: A detailed performance analysis report with identified discrepancies and recommendations for improvement.

09:00–09:54	Methods for evaluating investment performance and benchmarking against industry standards.
09:54–10:48	Quantitative analysis techniques for investment audits, including ratio analysis and trend analysis.
10:48–11:00	Identifying discrepancies in portfolio performance data through detailed examination.
11:00–11:30	**Coffee break**
11:30–12:12	Identifying discrepancies in portfolio performance data through detailed examination. (continued)
12:12–13:06	Utilising financial ratios to assess investment health and inform audit decisions.
13:06–14:00	Case study analysis of investment performance audits to illustrate best practices.

Day 3: Risk Management in Investment Auditing

Applied activity: Participants will create a risk assessment matrix for a fictional investment portfolio, identifying potential risks and developing mitigation strategies based on their analysis. They will collaborate to ensure comprehensive coverage of risks.
Output: A comprehensive risk assessment matrix with identified risks, their impact, and recommended mitigation strategies.

09:00–09:54	Understanding different types of investment risks, including market, credit, and operational risks.



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09:54–10:48	Frameworks for assessing and managing investment risks, focusing on risk tolerance and mitigation strategies.
10:48–11:00	Developing risk assessment matrices for portfolios to prioritise risks effectively.
11:00–11:30	**Coffee break**
11:30–12:12	Developing risk assessment matrices for portfolios to prioritise risks effectively. (continued)
12:12–13:06	Case studies on risk management failures in investments to highlight lessons learned.
13:06–14:00	Best practices for mitigating investment risks and ensuring compliance with regulations.

Day 4: Conducting Effective Investment Audits

Applied activity: In groups, participants will conduct a mock investment audit on a fictional portfolio, gathering evidence and preparing to present their findings to stakeholders. They will focus on clarity and actionable recommendations.
Output: A presentation summarising audit findings, including compliance issues and suggested improvements.

09:00–09:54	Steps in conducting a thorough investment audit, including planning, execution, and reporting phases.
09:54–10:48	Techniques for gathering and analysing audit evidence, ensuring accuracy and reliability.
10:48–11:00	Communicating audit findings to stakeholders effectively, focusing on clarity and actionable insights.
11:00–11:30	**Coffee break**
11:30–12:12	Communicating audit findings to stakeholders effectively, focusing on clarity and actionable insights. (continued)
12:12–13:06	Developing action plans based on audit results, including timelines and responsible parties.
13:06–14:00	Reviewing case studies of successful investment audits to illustrate effective practices.

Day 5: Integrating Audit Findings into Investment Strategy

Applied activity: Participants will work on a comprehensive case study that requires them to integrate audit findings into a revised investment strategy, considering compliance and performance improvements. They will present their integrated strategy to the class.
Output: A revised investment strategy document that incorporates audit findings, compliance measures, and performance enhancement recommendations.



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09:00–09:54	Translating audit findings into actionable investment strategies that enhance performance and compliance.
09:54–10:48	Collaborating with investment teams to implement changes based on audit recommendations.
10:48–11:00	Monitoring the effectiveness of implemented audit recommendations through follow-up audits.
11:00–11:30	**Coffee break**
11:30–12:12	Monitoring the effectiveness of implemented audit recommendations through follow-up audits. (continued)
12:12–13:06	Continuous improvement in investment auditing processes, focusing on feedback loops and adaptation.
13:06–14:00	Final case study integrating all aspects of investment auditing for comprehensive understanding.

The timings provided are estimates and may vary depending on the number of participants and the discussions taking place during the sessions. They are indicative only and do not constitute a binding commitment.

Dates, venues and fees

Current published course plans. Fees are per participant in EUR, excluding unconfirmed taxes.

Venue	Start date	End date	Fee (EUR)
Istanbul Confirmed dates	16 Nov 2026	20 Nov 2026	**€2,650.-**
Online Confirmed dates	16 Nov 2026	20 Nov 2026	**€1,250.-**
Cape Town Confirmed dates	30 Nov 2026	4 Dec 2026	**€1,890.-**
Online Confirmed dates	30 Nov 2026	4 Dec 2026	**€1,250.-**



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Dates, venues and fees (continued)

Venue	Start date	End date	Fee (EUR)
Amsterdam Confirmed dates	7 Dec 2026	11 Dec 2026	**€2,540.-**
Online Confirmed dates	7 Dec 2026	11 Dec 2026	**€1,250.-**
Singapore Confirmed dates	14 Dec 2026	18 Dec 2026	**€2,820.-**
Online Confirmed dates	14 Dec 2026	18 Dec 2026	**€1,250.-**
London Confirmed dates	4 Jan 2027	8 Jan 2027	**€2,450.-**
Online Confirmed dates	4 Jan 2027	8 Jan 2027	**€1,250.-**
Dubai Confirmed dates	18 Jan 2027	22 Jan 2027	**€3,150.-**
Online Confirmed dates	18 Jan 2027	22 Jan 2027	**€1,250.-**
Frankfurt Confirmed dates	1 Feb 2027	5 Feb 2027	**€2,650.-**



Course content

Dates, venues and fees (continued)

Venue	Start date	End date	Fee (EUR)
Online Confirmed dates	1 Feb 2027	5 Feb 2027	**€1,250.-**
Kuala Lumpur Confirmed dates	15 Feb 2027	19 Feb 2027	**€1,450.-**
Online Confirmed dates	15 Feb 2027	19 Feb 2027	**€1,250.-**
Paris Confirmed dates	1 Mar 2027	5 Mar 2027	**€2,860.-**
Online Confirmed dates	1 Mar 2027	5 Mar 2027	**€1,250.-**
Rome Confirmed dates	8 Mar 2027	12 Mar 2027	**€2,450.-**
Online Confirmed dates	8 Mar 2027	12 Mar 2027	**€1,250.-**
Istanbul Confirmed dates	15 Mar 2027	19 Mar 2027	**€2,650.-**
Online Confirmed dates	15 Mar 2027	19 Mar 2027	**€1,250.-**



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Dates, venues and fees (continued)

Venue	Start date	End date	Fee (EUR)
Amsterdam Confirmed dates	5 Apr 2027	9 Apr 2027	**€2,540.-**
Online Confirmed dates	5 Apr 2027	9 Apr 2027	**€1,250.-**
Singapore Confirmed dates	19 Apr 2027	23 Apr 2027	**€2,820.-**
Online Confirmed dates	19 Apr 2027	23 Apr 2027	**€1,250.-**
London Confirmed dates	3 May 2027	7 May 2027	**€2,450.-**
Online Confirmed dates	3 May 2027	7 May 2027	**€1,250.-**
Rome Confirmed dates	10 May 2027	14 May 2027	**€2,450.-**
Online Confirmed dates	10 May 2027	14 May 2027	**€1,250.-**
Dubai Confirmed dates	17 May 2027	21 May 2027	**€3,150.-**



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Dates, venues and fees (continued)

Venue	Start date	End date	Fee (EUR)
Online Confirmed dates	17 May 2027	21 May 2027	**€1,250.-**
Frankfurt Confirmed dates	7 Jun 2027	11 Jun 2027	**€2,650.-**
Online Confirmed dates	7 Jun 2027	11 Jun 2027	**€1,250.-**
Kuala Lumpur Confirmed dates	21 Jun 2027	25 Jun 2027	**€1,450.-**
Online Confirmed dates	21 Jun 2027	25 Jun 2027	**€1,250.-**
Barcelona Confirmed dates	28 Jun 2027	2 Jul 2027	**€2,840.-**
Online Confirmed dates	28 Jun 2027	2 Jul 2027	**€1,250.-**
Paris Confirmed dates	5 Jul 2027	9 Jul 2027	**€2,860.-**
Online Confirmed dates	5 Jul 2027	9 Jul 2027	**€1,250.-**



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Dates, venues and fees (continued)

Venue	Start date	End date	Fee (EUR)
Istanbul Confirmed dates	19 Jul 2027	23 Jul 2027	**€2,650.-**
Online Confirmed dates	19 Jul 2027	23 Jul 2027	**€1,250.-**
Amsterdam Confirmed dates	2 Aug 2027	6 Aug 2027	**€2,540.-**
Online Confirmed dates	2 Aug 2027	6 Aug 2027	**€1,250.-**
Singapore Confirmed dates	16 Aug 2027	20 Aug 2027	**€2,820.-**
Online Confirmed dates	16 Aug 2027	20 Aug 2027	**€1,250.-**
Vienna Confirmed dates	30 Aug 2027	3 Sept 2027	**€2,940.-**
Online Confirmed dates	30 Aug 2027	3 Sept 2027	**€1,250.-**
London Confirmed dates	6 Sept 2027	10 Sept 2027	**€2,450.-**



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Dates, venues and fees (continued)

Venue	Start date	End date	Fee (EUR)
Online Confirmed dates	6 Sept 2027	10 Sept 2027	**€1,250.-**
Dubai Confirmed dates	20 Sept 2027	24 Sept 2027	**€3,150.-**
Online Confirmed dates	20 Sept 2027	24 Sept 2027	**€1,250.-**
Frankfurt Confirmed dates	4 Oct 2027	8 Oct 2027	**€2,650.-**
Online Confirmed dates	4 Oct 2027	8 Oct 2027	**€1,250.-**
Kuala Lumpur Confirmed dates	18 Oct 2027	22 Oct 2027	**€1,450.-**
Online Confirmed dates	18 Oct 2027	22 Oct 2027	**€1,250.-**
Paris Confirmed dates	1 Nov 2027	5 Nov 2027	**€2,860.-**
Online Confirmed dates	1 Nov 2027	5 Nov 2027	**€1,250.-**



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Dates, venues and fees (continued)

Venue	Start date	End date	Fee (EUR)
Cape Town Confirmed dates	8 Nov 2027	12 Nov 2027	**€1,890.–**
Online Confirmed dates	8 Nov 2027	12 Nov 2027	**€1,250.–**
Istanbul Confirmed dates	15 Nov 2027	19 Nov 2027	**€2,650.–**
Online Confirmed dates	15 Nov 2027	19 Nov 2027	**€1,250.–**
Amsterdam Confirmed dates	6 Dec 2027	10 Dec 2027	**€2,540.–**
Online Confirmed dates	6 Dec 2027	10 Dec 2027	**€1,250.–**
Singapore Confirmed dates	13 Dec 2027	17 Dec 2027	**€2,820.–**
Online Confirmed dates	13 Dec 2027	17 Dec 2027	**€1,250.–**



Course content

Plan your next step

Dates, availability, exact venue, taxes, inclusions and payment terms require written confirmation. This brochure is not a quotation, registration, booking confirmation or visa invitation. Participants receive a Smart Horizon certificate of attendance; programmes are not externally accredited and do not award a professional qualification or designation. Confirm arrangements before booking travel.

For group or in-house training, contact our learning team to discuss your objectives and delivery arrangements.

Contact Smart Horizon

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