

No.	Groups/subgroups of topics	Supervisory board member, board member	Chief Risk Officer (CRO)	Chief Compliance Officer (CCO)	Employee responsible for financial monitoring performance	Head of internal audit unit	Chief Accountant
1	<b>Organization of banks' activities</b>	+	+	+		+	+
	Bank's ownership structure and qualifying holding in the bank; licensing of banking activities (banking license, currency transactions, new types of bank's activities); bank's standalone units; bank's reorganization; termination of bank's activities; bank resolution.						
2	<b>Corporate governance in Ukraine</b>	+	+	+		+	
	Bank's management and controlling bodies; distribution of powers and assignment of responsibilities of the bank's management bodies; bank's articles of association (charters) and other internal documents; bank's managers, head of the internal audit unit; independent members of the supervisory board; committees of the supervisory board and of the board; internal control (compliance, risk management, internal audit); interested party deal; major deals; conflict of interest.						
3	<b>Banking supervision and regulation of banks' activities</b>	+	+	+		+	+
	Principles, forms, and instruments of banking supervision and regulation; economic ratios; regulatory capital; subordinated debt; inspections by the National Bank of Ukraine; corrective measures (grounds for their taking, their types); banks' financial reporting; external audit.						
4	<b>Banks transactions. Banking services</b>	+	+	+		+	+
	Raising funds by the bank; opening accounts; other financial services of banks; related party transactions; collateral; lending.						
5	<b>Financial monitoring. For noncore positions</b>	+	+	+		+	
	General issues. Functions of reporting institutions in the AML/CTF area. Financial transactions subject to financial monitoring. Freeze of assets and suspension of financial transactions.						
6	<b>Financial monitoring. For core positions</b>				+		
	General issues. Banks tasks and functions in the AML/CTF area. Financial monitoring international standards. Financial monitoring system in the bank: legal status of the bank's responsible employee, applying a risk-oriented approach, bank's customers due diligence; refusal to establish (maintain) business relations or conduct a financial transaction; requirements as to accompanying funds transfers or virtual assets with the necessary information about a payer (transfer's originator) and transfer's recipient. Financial transactions subject to financial monitoring. Freeze of assets and suspension of financial transactions. Responsibility in financial monitoring.						

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7	<b>Special questions for heads of internal audit function</b>					+	
	<p>Organization and scope of internal audit in banks:  Main tasks, functions, and duties of the bank's internal audit unit; expertise and the procedure for appointment of a head of the internal audit unit; procedure for compilation and publishing the bank's financial statements; organization of control over financial monitoring; assessment of the bank's internal control system and risk management; checking the efficiency of the bank's corporate governance; control over operation of the internal audit unit; external assessment of operation of the bank's internal audit unit; internal audit unit's reporting; internal assessment of operation of the internal audit unit.</p> <p>Organization of conducting audits:  International standards of professional practice of internal audit; planning of audits.  Cooperation with the National Bank of Ukraine and the bank's external audit.</p>						
8	<b>Special questions for chief accountants</b>						+
	<p>Organization and maintenance of accounting in banks:  Accounting of the bank's transactions with assets and liabilities; accounting of transactions with foreign currencies and investment metals; credit exposures under financial instruments; financial instruments assessment; types of economic ratios of banks' activities; raising and placing funds by the bank; opening and maintaining accounts; chart of accounts and financial reporting; collateral; initial documents of accounting; records of the bank's income, expenses, and financial performance; seizure, suspension of account movements; reconciliation of assets and liabilities.</p> <p>Financial reporting of Ukrainian banks:  Compilation and publishing of the bank's financial statements; the bank's consolidated financial statements, requirements for disclosure; reporting period.</p>						