



ACCREDITED TRAINING PROVIDER



**RISK REWARD**  
GLOBAL BANKING & FINANCIAL SERVICES EXPERTS

# Financial Regulation & Compliance: Rules, Codes and Practise

A 4-day *Live Classroom or Virtual Delegate* Training Event  
London UK/24 CPE Credits

**Financial institutions worldwide grapple daily with finding and maintaining their organisation's unique balance between commercial competitiveness and its compliance to financial regulation.** Keeping up to date with the changing rules as needed for implementation is needed to ensure critical and cost-effective decision-making.

This 'rules and regs' course uniquely covers the current and future trends of global financial regulatory requirements facing the ever-expanding range of regulated entities including banks, funds managers, asset management, pension funds, insurers, exchanges and markets.

## Learning Objectives

Participants will benefit from a robust global perspective and gain in-depth knowledge, understanding and analysis of

- business practices and behaviours;
- legislation, conventions
- FCA and PRA rule books, guides and codes;
- take overs, insider dealing, the UK Bribery Act and money laundering;
- the regulation of exchanges and markets; and
- future trends in UK and EU financial regulation.

## Who should attend?

- Regulation and Compliance managers and staff
- Legal and accounting industry professionals
- Anyone seeking employment in financial regulation and compliance sector
- CISI Candidates to the *Diploma in Investment Compliance*

## Learning Methodology

Highly interactive expert-led discussions and case studies are supported by principles and theory using external reference materials and presentations delivered in a live classroom or via live video weblink.

## Knowledge Prerequisites

None, however, a familiarity with legal or financial concepts and terminology would be advantageous.

## *Our unique 4-day classroom training course features:*

- Content-rich study materials
- Up-to-date and industry relevant case studies
- In-depth analysis of course topics
- Smaller class sizes which focus more on personal attention & expert-delegate interaction
- An experienced, expert practitioner-trainer with real industry track-record & available for delegate Q&A for up to 90 days to help in exam preparation following the course.

## Methodology

The expert trainer will use slides, case studies, exercises and lead workshop-style group discussion to engage the delegates in practical learning and understanding. The trainer remains available to delegates for Q&A related to the course topic for 90 days following the course dates.

**Training Type: *Live classroom***

**Learning Level 6:**

***Intermediate***

**Field of Study: *Regulation & Compliance***

**This training course is scheduled for:**

**London UK, 4 days**  
March 16-19 2020  
October 19-22 2020

**The price per delegate for this 4-day programme is £4,995.00**

(+ UK VAT when applicable)

***Early Bird 20% Discounts apply through January 31, 2020***

**NEW** 1:1 training courses available at the per delegate price

**In-house training options, group discounts, alternative dates and locations are available.**

We are happy to add extra content to the programme to meet additional requirements from your company. Please contact us for further information.

[www.riskrewardlimited.com](http://www.riskrewardlimited.com)

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## *Financial Regulation & Compliance: Rules, Codes and Practise*

### **Detailed Course Outline**

#### **Session 1: UK Statutory Structure**

- Financial Services and Markets Act 2000

#### **Session 2: European Financial Services Regulation**

#### **Session 3: FCA and PRA Handbooks of Rules and Guidance**

- Principles for Businesses
- Senior Management Arrangements, Systems and Controls
- Threshold Conditions
- Statements of Principle and Code of Practice for Approved Persons
- The Fit and Proper Test for Approved Persons
- General provisions

#### **Session 4: Business standards**

- Conduct of Business (COBS)
- Client assets (CASS)
- Market Conduct
- Short Selling
- Disclosure Rules & Transparency Rules
- Training and competence

#### **Session 5: Regulatory processes**

- Supervision
- Decision Procedure and Penalties Manual

#### **Session 6: Redress**

- Dispute resolution & complaints
- Complaint handling procedures for firms & eligible complainants
- Compensation

#### **Session 7: Regulatory Guides**

- The Perimeter Guidance Manual

#### **Session 8: Other Regulatory Provisions**

- Takeover Code
- FCA Listing rules –including Model Code (LR9 Annex1)
- Insider Dealing
- Money Laundering
- UK Bribery Act 2010

#### **Session 9: The Regulation of Markets and Exchanges**

- Recognised Investment Exchanges (RIE)
- Designated Investment Exchanges (DIE)
- Recognised Overseas Investment Exchanges (ROIE)
- Multilateral Trading Facilities (MTFs)
- Systematic Internalisers (SIs)
- NIPS code

#### **Session 10: Current Regulatory Developments**

- UK and European regulatory developments
- European measures in the financial services area.

Course schedule:

Full day classroom training  
09:30 – 17:00



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## Financial Regulation & Compliance: Rules, Codes and Practise Registration & Payment details

Please mark **X** in the box and complete the form with BLOCK LETTERS

Dates:

March 16-19, 2020

October 19-22, 2020

### Course Fee (per person):

GBP £4,995 (+ UK VAT when applicable) **Early Bird 20% Discounts apply through January 31, 2020**

Email\* \_\_\_\_\_

First name\* \_\_\_\_\_

Last name\* \_\_\_\_\_

Job title / Position \_\_\_\_\_

Department \_\_\_\_\_

Company Name \_\_\_\_\_

Company Address \_\_\_\_\_

City \_\_\_\_\_

Postcode \_\_\_\_\_

Country\* \_\_\_\_\_

Telephone (direct)\* \_\_\_\_\_

Telephone (main) \_\_\_\_\_

Approving Manager \_\_\_\_\_

Training Manager \_\_\_\_\_

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**Terms and Conditions** All cancellations must be received in writing 20 working days prior to the start of the course with acknowledgement from Risk Reward. Course fees must therefore be paid in full if a cancellation occurs within 20 working days of the start of the course. We are always happy to welcome a replacement onto the course. Kindly send us written notification of your replacement by email, fax or telephone. Written cancellations received 20 working days or more before the start date of the course receive a full refund less a charge of 20%. For any written cancellation requests that reach us less than 20 working days before the event, no refunds will be given. Risk Reward reserves the right to the final decision if any dispute arises.

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\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**CISI Certificate & Diploma Candidates**

Please register, purchase your CISI workbook and online learning tools, and arrange to sit the exam at a testing centre directly with the professional body via [www.CISI.org](http://www.CISI.org).