



ACCREDITED TRAINING PROVIDER

Regulation & Compliance

The Diploma in Investment Compliance is a global qualification that offers a clear career pathway for compliance specialists and practitioners. Regulation & Compliance is the final step in this Diploma and with its focus on the financial services regulatory environment both in the UK and internationally it offers candidates a truly unique and robust global perspective which simply not found anywhere else in market for Investment Compliance.

Course Objectives

The purpose of this four day course is to take candidates through the Regulation and Compliance syllabus focusing on course content as well as on the exam preparation.

Who should attend?

This qualification is appropriate for experienced practitioners working in the regulation and compliance space.

Our unique 4 day classroom led training course features:

- Content rich PowerPoint slides
- Up-to-date and relevant case studies
- In-depth analysis of course topics
- Smaller class sizes which focus more on teacher/student interactions
- An expert trainer with practical industry experience

Progressive study pathways and prerequisites:

- We strongly advise candidates to have completed the UK Regulation & Professional Integrity unit and least one of the following units Combating Financial Crime, Global Financial Compliance or Risk in Financial Service before attempting Regulation & Compliance.
- To achieve the Level 6 CISI Diploma in Investment Compliance combine this qualification UK Regulation & Professional Integrity unit at least one of the following units Combating Financial Crime, Global Financial Compliance or Risk in Financial Service.
- Please note that it will generally take candidates between 18 months to 2 years to complete this Diploma.



Course Director: Dennis Cox is a leading financial services risk management

specialist serving banks, regulators and financial institutions globally, with a career encompassing HSBC, Prudential Portfolio Managers, Ernst & Young, BDO Binder Hamlyn and Arthur Young.

Dennis has in-depth knowledge, expertise and practical know-how of Risk management, Bank Internal Audit, Compliance & Financial Crime/Cyber Security in addition to Wealth Investment Management, Financial Markets (Bonds, Securities), Asset & Fund Management, and UK, USA & international Regulation.

He sees risk management as a driver for organizational change in banking, and provides senior level risk advice to major financial institutions globally. His published works on Risk Management, Audit and Financial Crime Deterrence are considered industry standards.

Advanced Preparation: Yes
Training Type: Classroom
Learning Level: Advanced
Field of Study: Regulation

This training course is scheduled for:

London UK, 4 days
March 5 - 8, 2018
October 15 - 18, 2018

The price per delegate for this 4-day programme is £2,495
(+ UK VAT when applicable)

1:1 training courses available at 2x per delegate price!

For an in-house training option, 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

Risk Reward Ltd 47 Limeharbour, 2nd Floor, London E14 9TS, UK

Tel: +44 (0)20 7638 5558

CISI@riskrewardlimited.com

UK Companies House # 434 6234.



ACCREDITED TRAINING PROVIDER

Regulation & Compliance

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

- High Level Standards
 - 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

- Regulation of:
 - 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



ACCREDITED TRAINING PROVIDER



Regulation & Compliance (London)

Registration & Payment details

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

Dates:

March 5 - 8, 2018

October 15 - 18, 2018

Course Fee (per person):

GBP £2,495 (+ UK VAT when applicable)

Email*

First name*

Last name*

Job title / Position

Department

Company Name

Company Address

City

Postcode

Country*

Telephone (direct)*

Telephone (main)

Approving Manager

Training Manager

Examination policy:

You will need to book their examination and register for their membership directly through the CISI.

Candidates who are attending the training are advised to purchase the workbook from CISI.

Please tick that box if you don't want to be subscribing to the Global Risk Update magazine.

Data Privacy & Update of Contact Details Risk Reward Limited is fully compliant with the Data Protection Act. The information you provide will be safeguarded by Risk Reward Ltd. We do not rent, sell or exchange your details to anyone without your consent. Your details are never given to third parties. If you wish to update your details, please email: info@riskrewardlimited.com with your OLD and NEW details. Please allow 10 days to see the changes take effect. Thank you.

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.

Copyright © 2002-2018 All rights reserved. Risk Reward Limited reserves the right to amend the course fees, terms, course agenda, speaker or venue should the need arise. All public courses are subject to demand.

Signature

Date

Risk Reward Ltd 47 Limeharbour, 2nd Floor, London E14 9TS, UK

Tel: +44 (0)20 7638 5558

CISI@riskrewardlimited.com

www.riskrewardlimited.com