



ACCREDITED TRAINING PROVIDER

Diploma in Investment Compliance 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 and internal audit 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 specialises his risk advisory services and lectures on the balance of risk management and the modernisation of internal audit and the auditing of compliance risk areas. He also addresses risk management as a driver for organisational change in banking, and risk-based bank internal audit. He is a specialist in risk and audit for bank departments and functions including credit, treasury, operations and accountancy issues related to the Basel Accord and the dynamics of changing regulation and business banking competitiveness

Advanced Preparation: Yes

Training Type: Classroom

Learning Level: Advanced

Field of Study: Regulation

This training course is scheduled for:

London UK, 4 days

May 15 – 18, 2017

October 23 – 26, 2017

The price per delegate for this 4-day programme is £2,495

(+ UK VAT when applicable)

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

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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
AM session 09:30 – 12:30
PM session 13:30 – 17:00



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Regulation & Compliance (London)

Registration & Payment details

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

Dates:

May 15 – 18, 2017

October 23 – 26, 2017

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

Payment Details

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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 £150. 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

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