



ACCREDITED TRAINING PROVIDER

UK Financial Regulation

This fundamental qualification underpins the key regulations in the UK's Financial Sector from the broad perspective of the regulatory environment to the Conduct of Business Sourcebook (COBS) rules. This course is relevant for both the Capital Markets Programme and the Investment Operations Certificate.

Course Objectives

The purpose of this two day course is to equip delegates with the necessary knowledge and exam techniques to prepare them for the exam for this qualification.

Who should attend?

This central qualification is essential for anyone taking the CISI Capital Markets Programme or the Investment Operations Certificate (IOC) and also appropriate to anyone who wants a general understanding of UK Financial Regulations.

Our unique 2 day classroom led training course features:

- Content rich PowerPoint slides
- Up-to-date and relevant case studies
- A sample practice paper
- Smaller class sizes which focus more on teacher/student interactions
- An expert trainer with practical industry experience

Progressive study pathways:

- UK Financial Regulation is the necessary regulatory qualification needed in the **Capital Market Programme** and the **Investment Operations Certificate**.
- To complete the **Capital Markets Programme** combine UK Financial Regulations with either our Level 3 Securities or Derivatives qualifications
- To achieve the CISI **Investment Operations Certificate (IOC)** combine any three Technical, Regulatory or Introductory modules (please see the final page for options).



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: None

Training Type: Classroom

Learning Level: Introduction

Field of Study: Regulatory

This training course is scheduled for: The price per delegate for this 2-day programme is £1,050

(+ UK VAT when applicable)

London UK, 2 days

January 09 – 10, 2017

April 06 – 07, 2017

July 13 – 14, 2017

November 09 – 10, 2017

A 10% discount is available for returning candidates booking training courses along the Capital Markets Programme and the IOC Progressive study pathways

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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UK Financial Regulation

Detailed Course Outline

Session 1: The Regulatory Environment

- The role of the FCA and PRA
- The Regulatory Infrastructure

Session 2: The Financial Services and Markets Act 2000 and Financial Services Act 2012

- Regulated and Prohibited Activities
- Performance of Regulated Activities
- Information Gathering and Investigations
- Regulated Activities 2.5 Miscellaneous offences under FSA 2012

Session 3: Associated Legislation and Regulation

- Insider dealing
- Market abuse
- Money laundering
- Model Code
- Disclosure and Transparency rules
- Data Protection Act 1998
- Relevant European Regulation
- Prudential Standards

Session 4: The FCA Conduct of Business Sourcebook / Client Assets

- The application and general provisions of the FCA Conduct of Business Sourcebook
- Accepting clients
- Communicating with clients, including financial promotions
- Suitability
- Product disclosure and the client's right to cancel
- Dealing and managing
- Reporting to clients
- Client Assets

Session 5: Complaints and Redress

- Customer complaints

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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UK Financial Regulation Registration & Payment details

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

Dates:

- January 09 – 10, 2017
 April 06 – 07, 2017
 July 13 – 14, 2017
 November 09 - 10, 2017

Course Fee (per person):

GBP £1,050 (+ 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 _____

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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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ACCREDITED TRAINING PROVIDER

Investment Operations Certificate (IOC)

Progressive study pathways options

For UK Candidates the IOC is achieved by passing any three of the following units*;

(* please note that the following list only contains the IOC courses that Risk Reward offers and not the complete selection, for the full list please visit www.cisi.org)

Introductory

- International Introduction to Securities and Investment

Regulatory

- UK Financial Regulation

Technical

- Risk in Financial Services
- Global Financial Compliance
- Combating Financial Crime
- Managing Cyber Security
- Operational Risk