

# Understanding Regulation & Compliance

21 & 22 April 2010

29 & 30 June 2010

CISI, 8 Eastcheap, London  
EC3M 1AE

## COURSE HIGHLIGHTS

This two-day course gives a practical overview of compliance issues and a detailed understanding of the approach taken by the Financial Services Authority (FSA). Delegates will gain a clear working knowledge of FSA rules and regulations and an understanding of other areas of regulation including market abuse and anti-money laundering.

This course has been specially designed for compliance departments juniors, new entrants and those from across the business who need to be aware of the latest regulatory developments.

Visit [cisi.org/regulation](http://cisi.org/regulation) for the full course programme.

## WHO SHOULD ATTEND

- Compliance Officers
- Compliance Assistants
- Compliance Trainees
- Regulatory Affairs Officers
- Regulatory Compliance Officers
- AML/Financial Crime Officers
- Legal Officers
- IT Managers
- Internal Audit Managers
- Risk Managers
- Training Managers

## COURSE DIRECTOR

Julia Kirkland ACSI works as a consultant to the financial services industry, following a career as a senior manager within a large asset management group. Specialising in regulatory, learning and development issues for clients, her understanding of the practical application of skills allows her to deliver meaningful training.

Julia is a CISI-approved individual trainer, and tailors each course specifically to those attending. As well as delivering training for the Institute, Julia also provides consultancy services focusing on learning and development issues.

“Very good course — set at the right level and pace.”

Compliance Manager,  
Rensburg Sheppards

Start 9.30am

## **INTRODUCTION TO REGULATION**

- Structure of Regulation
- FSMA 2000
- Financial Services Authority
- Regulated activities
- Authorisation
- Principles of business
- Senior management systems and controls

## **APPROVAL**

- Statements of principles
- Code of conduct
- Training & competence

## **CONDUCT OF BUSINESS RULES**

- Client classification
- Inducements
- Dealing commission
- Financial promotions
- Customer documentation
- Risk warnings
- Confirmations & periodic information
- Dealing, managing & advising

## **FINANCIAL RULES**

- Overview & CRD approach

## **COMPLAINTS**

- Requirements & procedures
- Ombudsman & penalties

## **MODEL CODE FOR DIRECTORS' DEALING**

- Restrictions & penalties

## **INSIDER DEALING & MARKET ABUSE**

- Offences & penalties
- Code of conduct

## **MONEY LAUNDERING**

- Offences & penalties
- Roles of MLRO & SOCA

## **HOT TOPICS**

- Latest announcements and consultation papers
- Speeches
- Likely changes

Finish 5pm

## The CISI and the FSA's Retail Distribution Review (RDR)

Under the RDR, the FSA proposes to introduce compulsory CPD for all retail advisers to assist in achieving ongoing competence. It suggests that a minimum of 35 hours' CPD must be completed on an annual basis (or 100 hours over a three-year period) and that such activities should be recorded.

The FSA has proposed as a guide that the CPD should comprise of 60-70% structured learning which equates to 21 - 24.5 hours. Attendance at courses such as this one are activities accepted as part of structured learning.

Delegates who attend any CISI professional training course or conference will earn CPD hours, and Institute members will have these automatically added to their personalised CISI CPD log, which also recommends 35 hours on an annual basis.

Please see [cisi.org/rdr](http://cisi.org/rdr) for further information.

### Venue Details

The Chartered Institute for Securities & Investment  
8 Eastcheap, London EC3M 1AE  
+44 (0)20 7645 0680  
[cisi.org](http://cisi.org)  
Nearest Tube Station: Monument

### To Register

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