

TRAINING COURSES

All courses can be held at your office and tailored to your specific requirements. Many of the courses are also available at our offices. For a current schedule of courses available at our offices, please visit: cordium.com. Please contact Graham Dix at 020 7484 3987 or graham.dix@acacomplianceeurope.com or Terry Douglas at 020 7484 3961 or terry.douglas@acacomplianceeurope.com if you would like to discuss your training needs.

FINANCIAL CRIME PREVENTION

- ⦿ Financial crime prevention: anti-money laundering, anti-bribery & corruption, market abuse
- ⦿ Anti-money laundering awareness
- ⦿ Anti-money laundering masterclass: understanding and managing the risk
- ⦿ Anti-money laundering: PEPs and sanctions
- ⦿ The Criminal Finances Act
- ⦿ Fraud prevention in financial services firms

ROLES & RESPONSIBILITIES

- ⦿ Compliance officer: role & responsibilities
- ⦿ Money laundering reporting officer: role & responsibilities
- ⦿ CF10a: role & responsibilities
- ⦿ Building an effective compliance monitoring programme
- ⦿ Writing an effective compliance report
- ⦿ Writing the money laundering reporting officer report
- ⦿ The role & practice of internal audit
- ⦿ The GDPR & the role of the data protection officer

SOFTSKILLS

- ⦿ Making your time efficient, effective and productive
- ⦿ Anti-harassment: what it means for firms and individuals

FINANCIAL MARKETS

- ⦿ Operational due diligence for investing in hedge funds
- ⦿ The life cycle of a hedge fund & the operational risks
- ⦿ Demystifying derivative instruments
- ⦿ Introducing modern financial markets
- ⦿ Introduction to Bitcoin and Cryptocurrencies
- ⦿ Introduction to banking
- ⦿ Introduction to private wealth management
- ⦿ Introduction to private equity
- ⦿ Introduction to equity markets
- ⦿ Introduction to fixed income markets
- ⦿ Introduction to FX markets
- ⦿ Introduction to alternative investments (including Bitcoin and Cryptocurrencies)
- ⦿ Intermediate level derivatives
- ⦿ Introduction to swaps
- ⦿ The life of a Securities Trade
- ⦿ Introduction to fund administration
- ⦿ Derivatives in fund management
- ⦿ UCITS funds: UCITS III, IV and V
- ⦿ AIFMD



ENDORSED CPD PROVIDER

SENIOR MANAGEMENT

- ⦿ Senior management obligations in FCA regulated firms
- ⦿ Board room briefing: senior management arrangements, systems and controls (SYSC)
- ⦿ The role & responsibilities of the independent non-executive director (INED)
- ⦿ The Approved Persons Regime
- ⦿ Managing conduct risk
- ⦿ Managing capital adequacy risk
- ⦿ Managing visits from the regulator & what to do when things go wrong
- ⦿ Senior management: anti-money laundering oversight
- ⦿ Corporate governance

SENIOR MANAGERS AND CERTIFICATION REGIME (SMCR)

- ⦿ Preparing your firm for the SMCR
- ⦿ Individual Senior Manager Responsibilities under SMCR
- ⦿ Individual responsibilities for Certification staff
- ⦿ How to manage and supervise staff in scope of SMCR
- ⦿ Financial Services Regulation for HR Specialists, including SMCR
- ⦿ The conduct rules (COCON)

RULES AND REGULATIONS

- ⦿ Compliance induction
- ⦿ Financial promotions: the rules and practical application
- ⦿ Complaint handling
- ⦿ Identifying and managing conflicts of interest
- ⦿ Client categorisation
- ⦿ Training & competence: rules & application
- ⦿ Introduction to the conduct of business rules for retail firms
- ⦿ Client assets: rules & practical application
- ⦿ Introduction to the conduct of business rules
- ⦿ The Market Abuse Regulation
- ⦿ Trade Surveillance Workshop
- ⦿ Whistleblowing: The Public Interest Disclosure Act
- ⦿ Suitability & appropriateness: avoid mis-selling
- ⦿ Data Protection for all employees