



ODDFELLOWS HOUSE
40 FOUNTAIN STREET
MANCHESTER M2 2BE
UNITED KINGDOM
TEL: +44 (0)161-832 3800
FAX: +44 (0)161 835 2070

COMPLIANCE BASICS

Background

This course aims to give a good basic understanding of the FSA regulatory regime, its aims and its application to the employees of FSA regulated firms. It is a practical course drawing on examples and case studies to illustrate how the rules work and their practical application.

The course covers the background to the FSA Handbook, a review of the key FSA rules and gives an insight into current regulatory issues and developments. It also highlights the individual responsibilities and obligations placed on employees of FSA regulated firms, by the FSA rules.

This is an ideal course for staff who are new to the industry or for all those moving into a Compliance role.

The course may also be used as a tool to demonstrate training and competence under the FSA T & C regime.

Delegates

- Employees of financial services companies who need to understand basic Compliance.
- New employees in FSA regulated Financial Service companies.

No prior knowledge is assumed.

Duration 1 day 10.00 am- 5.30 pm

Available as an in house tailored course

Price on application

Content

WHAT IS COMPLIANCE?
THE UK REGULATORY ENVIRONMENT
THE FINANCIAL SERVICES AND MARKETS ACT 2000
THE FINANCIAL SERVICES AUTHORITY - ROLE AND SCOPE
THE FSA HANDBOOK

THE FSA HANDBOOK
MiFID IMPACT
HIGH LEVEL PRINCIPLES FOR FIRMS AND INDIVIDUALS
CODE OF CONDUCT FOR APPROVED PERSONS
SENIOR MANAGEMENT SYSTEMS AND CONTROLS
CONDUCT OF BUSINESS RULES
CLIENT ASSETS
FINANCIAL PROMOTION

CLIENT CATEGORISATION
TYPES OF CLIENT
DIFFERENT RULES FOR DIFFERENT TYPES OF CLIENT

INSIDER DEALING

MARKET MANIPULATION AND MARKET ABUSE

MONEY LAUNDERING

TRAINING AND COMPETENCE

REGULATORY PROCESSES

IN HOUSE COMPLIANCE ARRANGEMENTS THE COMPLIANCE FUNCTIONS