

Insights from CySEC Inspections – Market Abuse, Suitability, Product Governance, Best Execution, Compliance Function & Conduct of business obligations of CFD providers

Aim:

Be super ready for one of the most important and challenging moments coming up, the next CySEC inspection.

Like an exam, solving past papers better prepares you for what the examiner might be looking for.

Objective:

- Get a clear understanding on what might trigger a CySEC inspection and the procedure usually followed by the CySEC Officers when performing an inspection.
- Understand the areas where CySEC focuses during an inspection on the basis of previous experiences.
- Understand market best practices and gain knowledge from experiences drawn from previous CySEC inspections, so as to ensure that your organization is in line with the regulator's expectations.

Participants' Profile:

Compliance Officers & Assistants, Executive & Non-Executive Directors, Lawyers and consultants, any professionals wishing to enhance their understanding in regulatory compliance for CIFs.



Lecturer's Profile: Nikolas Demetriades, CFA

Nikolas is the Risk & Compliance Director of B2B Lateral Thinking Solutions, a boutique consulting firm specializing in regulatory compliance, risk management, legal and corporate services. B2B Lateral Thinking Solutions is mainly offering services to CIFs, AIFs and AIFMs.

Prior to this, for almost three years, Nikolas was heading up the compliance department of one of the biggest Cyprus Investment Firms, having a team of more than 10 members and being responsible for the training and monitoring of more than 150 employees.

Before that, for several years, he was heading up the licensing team of the Financial Regulation and Advisory Department of a reputable consulting firm in Cyprus. He was responsible for the setting up and securing the relevant authorization required for CIFs, AIFs, AIFMs, Payment Institutions and Electronic Money Institutions.

Nikolas started his career as a junior compliance consultant in a reputable consulting firm in Cyprus offering services to CIFs and investment funds.

Nikolas graduated from Cass Business School in the UK with a degree in Business Studies. He is a Chartered Financial Analyst and also holds the Advanced Certificate of CySEC which is required for the performance of key functions within the regulated entities, including the compliance function.

SEMINAR DETAILS

Dates:	21 June 2022
Time:	09:00 – 14:30
Duration:	5 hours / CPD units
Town:	Limassol
Venue:	TBC
Language:	English
Cost:	€150

HRDA Subsidy:

Most of the open seminars offered are accredited and approved by the Human Resource and Development Authority of Cyprus (HRDA) for subsidy. Participants receive subsidy provided that they meet the HRDA's criteria.

The specific seminar is not subsidized by HRDA.

Contact Details:

For more information and registrations please contact

Student and Client Services

Tel: 77 77 80 30

Fax: 22 35 74 84

Email: seminars@globaltraining.org

SEMINAR PROGRAMME

		Insights from CySEC Inspections – Market Abuse, Suitability, Product Governance, Best Execution, Compliance Function & Conduct of business obligations of CFD providers
Time	Duration	Description
9:00 – 10:00	1:00	Market Abuse Ad-hoc Internal Audit Report <ul style="list-style-type: none">• What triggered the report• Content of the report – Areas reviewed• Case studies
10:00 – 10:15	0:15	C O F F E E B R E A K
10:15 – 11:45	1:30	CySEC Thematic Reviews: Suitability & Product Governance <ul style="list-style-type: none">• What triggered the reviews• Procedure followed by CySEC• Areas reviewed• Weaknesses and best practices identified
11:45 – 12:45	1:00	CySEC Thematic Review: Best Execution <ul style="list-style-type: none">• Procedure followed by CySEC• Areas reviewed• Weaknesses and best practices identified
12:45 – 13:00	0:15	C O F F E E B R E A K
13:00 – 14:30	1:30	CySEC Thematic Reviews: Compliance Function & Conduct of business obligations of CFD providers <ul style="list-style-type: none">• Procedure followed by CySEC• Areas reviewed• Weaknesses and best practices identified
Total Net Duration	5:00	END OF SEMINAR

Certification:

All participants will be awarded a certificate. Each hour of attendance will account for one unit of Continuing Professional Development (CPD) as required for members of most professional bodies.

In-house Seminars:

Globaltraining has been cooperating with many companies in Cyprus and abroad for covering their in-house training needs. Some of these companies are large multinational companies with presence in Cyprus and abroad. The clients we serve include a wide range of industries, including banking, accounting and audit, investment services firms, telecommunication, construction and retail. Tailor-made seminars are offered upon request from clients.