

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

Continuing Professional Development

Instructor:

Nikolas Demetriades, CFA

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.

- 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.

Who should attend the seminar?

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

24 October 2022
9:00-14:30 (4 CPD Units)

Registrations:
Fee: €150
Click [here](#) to register

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 – 10:30 | 1:30 | 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 |
| 10:30 – 10:45 | 0:15 | C O F F E E B R E A K |
| 10:45 – 11:45 | 1:00 | 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.