Tailored Training Courses

ACA®

We offer a wide range of courses, designed to help you understand the regulatory framework and apply compliance. Our tailored training is ideal for larger groups or if you have specific topics to be briefed on, or complex scheduling and timing for busy teams in different jurisdictions.

Conducted by a professional trainer at a time and, date convenient for you, these virtual and interactive courses can be customised to meet your learning objectives and the content developed to meet your specific requirements.

Please contact our training team at **+44 (0)20 7040 0500** or **acatraining@acaglobal.com** 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 financial sanctions
» Client on-boarding for AML compliance
» The Criminal Finances Act
» Fraud prevention: The often-forgotten risk

Roles & Responsibilities

» Compliance officer: role & responsibilities
» Money laundering reporting officer: 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 internal audit committee
» The GDPR & the role of the data protection officer

Investment Firms Prudential Regime – ICARA

» The ICARA process and how to undertake it
» The overall financial adequacy rule and the requirement to hold own funds and liquid assets to remain viable
» The ICARA document format and cover concepts such as recovery and wind-down planning triggers and intervention points
» The obligation to maintain and update the firm's ICARA
» An awareness of the actions the MIF007 ICARA Questionnaire and the FCA reporting obligation

Financial Promotions

» Financial Promotions – overview
» Definition and the principle
» The financial promotion approval process
» Enforcement activity
» Common failings
» Websites
» Recent developments
» Financial promotions – record keeping requirements

For more information, contact us here.

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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)

» 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 (SM&CR)

» 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

» Understanding and complying with the conduct rules (COCON)

Annual Compliance Update

» Market abuse and insider dealing

» Anti-money laundering and counter-terrorist Financing

» Fraud

» Compliance policies and FCA expectations

» UK regulatory updates & FCA insights

» The senior managers and certification regime

» The FCA's conduct rules

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 AIFMD

» The Market Abuse Regulation

» Trade Surveillance Workshop

» Whistleblowing: The Public Interest Disclosure Act

» Suitability & appropriateness: avoid mis-selling

» Data Protection for all employees

For more information, contact us here.

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