Safeguarding client assets

GOALS

The training aims to provide insight in safeguarding client assets obligations under UCITS/AIFMD and under MiFID. Purpose is to discuss the evolution of the obligations and supervisory expectations.

SUMMARY

Category:

- Compliance & audit

Difficultylevel:

Expert

Certification type:

In class training

Price:

- Member: € 345.00
- Non member: € 380.00
- Partner BZB: € 345.00
- Incompany: custom tailored, prices on demand

CPD hours:

- Bank: **3h** general
- Insurances: **3h** general
- Compliance: **3h**

INTENDED AUDIENCE

Compliance officers and staff members, internal audit, back office staff members and anyone dealing in the context of his/her job with the interpretation and application of client assets safeguarding regulations.

FOREKNOWLEDGE

Expert Level: This training will provide advanced characteristics on a specific topic. In order to grasp the concepts of this training, thorough knowledge is required (enhancement).

CONTENT

Content

The training includes the following topics that will be discussed from both a theoretical and a practical angle:

- Relevant MiFID I obligations + additional obligations MiFID II

- Circular PPB – 2007-7-CPB
- Relevant UCITS and AIFMD obligations
- Role of different intervening parties, the CAP Officer, the control functions and external audit.

Practical aspects

Duration: A half day training

Hours: 9AM-12.30PM (3 training hours)

Address: Febelfin Academy, Phoenix Building - Koning Albert II-laan/Boulevard du Roi Albert II 19 1210 Brussels

Additional information: This training course will be given in English

METHODOLOGY

You follow a **'Classroom training'** in a group. You, the other participants and the teacher are all present in the same classroom at an agreed time. There is an opportunity for interaction and feedback, both from the participants to the teacher and vice versa. The teaching material consists as a basis of a presentation via the MyFA learning platform, supplemented with various other items (such as digital syllabus, presentation, audiovisual fragments, etc.).

Form: Classical

Teaching material: Powerpoint presentation (slides)

Bank: De **technische kennis m.b.t. de financiële producten** in bank- en beleggingsdiensten overeenkomstig art. 7; §1, 1°, b en c van het K.B. van 1 juli 2006.

Banque: Les **connaissances techniques relatives aux produits financiers** et aux services bancaires et d'investissement, conformément à l'article 7, §1, 1°, b et c. de l'AR du 1er juillet 2006.

Verzekeringen: Betreft de technische kennis m.b.t. de onderscheiden verzekeringstakken, overeenkomstig art. 270 van de wet van 4 april 2014.

Assurances: Les connaissances techniques relatives aux différentes branches d'assurance, conformément à l'article 270 de la loi du 4 avril 2014.