



Compliance Ireland Training

Course Timetable

February – June 2013

<http://www.complianceireland.com/training/public-training>

About Compliance Ireland

Compliance Ireland has been providing training and consulting services in Ireland since 2006 to senior management, directors and professional advisors of more than 400 Irish and UK financial services firms, regulators, law firms, universities and telecom businesses.

Our aim is to provide you with the most comprehensive and up-to-date training available in Ireland.

Our training gives you the skills and knowledge to:

- enable you to get on top of regulatory developments;
- show you how to implement changes in your business to comply with new requirements;
- make compliance management work for you in as efficient and cost-effective a manner as possible.

If you want to ask us about our specialised and tailored in-house training courses please contact us by email on email@complianceireland.com or by telephone + 353 1 425 5962.

How to Make a Booking

You can book any of our courses online. See <http://www.complianceireland.com/training/public-training> for the course of your choice.

You can make a booking by sending an email to bookings@complianceireland.com containing the following information:

- your contact details
- the name and date of the course that you would like to attend
- the attendee(s) name(s)
- the name of the person that the invoice should be addressed to
- any reference/cost centre/purchase order number that you would like stated on the invoice

We will follow up your booking by sending out an invoice.

Course Fee Payment Methods:

We accept payments by bank/wire transfer, cheque and credit card (via PayPal links on our website). Please see course details in this brochure for course fee information and discounts available.

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Continuing Professional Development:

Our courses have been accredited by the Institute of Bankers (QFA, CPD Members (stockbrokers), CPD Member (LIA), LCOI and CeB) and Professional Standards Advisory Board-General Insurance/Insurance Institute of Ireland (QFA, LCOI, CIP and CFD Members) as relevant for each qualification. Solicitors and Accountants may claim CPD hours from their membership bodies as may others with CPD requirements. Formal and informal CPD hours vary depending upon your professional association's rules. Please contact us (email@complianceireland.com) or your professional association if you have any queries on the amount of CPD hours that may be claimed for our courses. See <http://www.complianceireland.com/training/public-training> for further details.

Terms & Conditions:

Our Terms and Conditions and Cancellation Policy ("Terms") are located at <http://www.complianceireland.com/cancellation-policy>. Please read the Terms before making your booking. A link to the Terms appears on each webpage advertising a course/Event. Please note that Compliance Ireland reserves the right to alter the content and/or cancel scheduled courses/Events. Where Compliance Ireland cancels a course/Event a full refund will be made. All bookings must be paid for in advance unless agreed otherwise. Please also see our Privacy Policy/Statement at <http://www.complianceireland.com/privacy>.



Course Timetable (February – June 2013)

Course Date(s)	Course Name	Sector	Function	Page
FEBRUARY				
Tues 19 th February	Anti- Money Laundering Refresher Course (Briefing)	A	E	5
Tues 26 th February	Implementing Fit & Proper in your Business (Briefing)	A	C, D, HR, L	6
Thurs 28 th February	Anti-Money Laundering/Counter-Terrorist Financing (full day)	A	E	7
MARCH				
Tues 5 th March	Corporate Governance (half day)	A	C, D, L	8
Wed 6 th March	Director's Training – Anti-Money Laundering/Counter-Terrorist Financing (Briefing)	A	D, L	9
Thurs 7 th March	Introduction to Financial Services Regulation in Ireland (half day)	B, F, I, IF, P	C, D, L	10
Tues 12 th March	Directors Duties and Corporate Governance (full day)	A	C, D, L	11
Wed 13 th March	Complaints Handling & Treating Customers Fairly (half day)	B, F, I, P	C	12
Thurs 14 th March	Dignity in the Workplace (briefing)	A	D, HR, L	13
Wed 20 th March	Ethics (Briefing)	B, F, I, IF	E	14
Thurs 21 st March	Risk-Based Compliance Monitoring for Financial Institutions (full day)	A	C, L	15
Tues 26 th March	The Minimum Competency Code (half day)	B, F, I, IF	C, HR, L	16
APRIL				
Tues 9 th April	Capital Requirements Directive for Investment Firms (full day)	B, IF	D, FF, L	18
Tues 9 th April	E-Money Directive (briefing)	B, P	C, D, F, L	19
Wed 10 th April	Important Employment Law Issues and How to Address Them (half day)	A	C, D, HR, L	20
Thurs 11 th April	Role of the Compliance Officer - for Banks and Investment Firms (full day)	B, CU, F, IF, P	C, L	21
Tues 16 th April	Understanding Solvency II (full day)	I	D, FF, L	22
Tues 16 th April	Consumer Protection Code 2012 (half day)	B, F, I, P	C, L	23
Wed 17 th April	Central Bank Inspections & Enforcement (half day)	A	C, D, L	24
Thurs 18 th April	Anti-Money Laundering/Counter-Terrorist Financing (full day)	A	E	7
Wed 24 th April	PRISM (Lunchtime Briefing)	A	C, D, L	25
Tues 30 th April	Data Protection and How to Conduct a Data Protection Audit (full day)	A	E	26

Course Date(s)	Course Name	Sector	Function	Page
MAY				
Wed 1 st May	Corporate Governance (half day)	A	C, D, L	8
Thurs 2 nd May	The Role of the Compliance Officer – for Insurance Firms (full day)	I	C, L	27
Wed 8 th May	Code of Conduct on Mortgage Arrears (Briefing)	B	C, D, L	28
Thurs 9 th May	Understanding MiFID (full day)	IF	C, D, L	29
Tues 14 th May	Establishing the Internal Audit Function (half day)	B, F, I, IF, P	C, L	30
Thurs 16 th May	Implementing UCITS IV (half day)	F	L,	31
Tues 21 st May	Implementing the AIFM Directive (half day)	F, IF	D, L	32
Thurs 23 rd May	Developments in MiFID 2 (Briefing)	IF	C, D, L	33
Tues 28 th May	Complaints Handling & Treating Customers Fairly (half day)	B, F, I, P	C	12
Thurs 30 th May	Director’s Training – Anti-Money Laundering and Counter-Terrorist Financing (Briefing)	A	E	9
JUNE				
Wed 5 th June	Ethics (Briefing)	B, F, I, IF	E	14
Thurs 6 th June	Introduction to Financial Services Regulation in Ireland (half day)	B, F, I, IF, P	C, D, L	10
Tues 11 th June	Implementing Fit & Proper in your Business (Briefing)	A	C, D, HR, L	6
Tues 11 th June	PRISM (Lunchtime Briefing)	A	C, D, L	25
Wed 12 th June	Understanding Funds in Ireland (half day)	F	C, D, L	34
Wed 12 th June	Payment Services Directive (briefing)	B, P	C, D, F, L	35
Thurs 13 th June	Directors Duties and Corporate Governance (full day)	A	C, D, L	11
Tues 18 th June	Dignity in the Workplace (briefing)	A	D, HR, L	13
Tues 18 th June	Anti- Money Laundering Refresher Course (Briefing)	A	E	5
Wed 19 th June	Consumer Protection Code 2012 (half day)	B, F, I, P	C, L	23
Thurs 20 th June	Data Protection and How to Conduct a Data Protection Audit (full day)	A	E	26
Tues 25 th June	Central Bank Inspections & Enforcement (half day)	A	C, D, L	24
Wed 26 th June	Risk-Based Compliance Monitoring for Financial Institutions (full day)	A	C, L	15
Thurs 27 th June	Anti-Money Laundering/Counter-Terrorist Financing (full day)	A	E	7

Legend:

Sector		Function	
A: All	I: Insurance	C: Compliance Function	HR: Human Resources
B: Banking	IF: Investment Firms	D: Directors	L: Legal
CU: Credit Unions	P: Payment Services	E: Everyone	
F: Funds		F: Finance	



Anti-Money Laundering Refresher Course

Course Dates:

Tuesday 19th February, 10 am – 12 noon

Tuesday 19th February, 2 pm – 4 pm

Tuesday 18th June, 2 pm – 4 pm

Course Fee:

€220 per attendee

(All training fees are VAT exempt)

Course Venue:

Compliance Ireland Training, 13 Adelaide Road, Dublin 2

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Summary:

The 2010 Anti-Money Laundering and Counter Terrorist Financing Act the Guidance notes set out a requirement for annual staff training on AML. This 2 hour briefing serves as a refresher course for those already aware of their responsibilities under the 2010 Act but who need to undergo refresher training or wish to keep updated with the most recent developments in AML. The main focus is on KYC, CDD and suspicious activity identification and reporting. The 2012 Anti-Money Laundering Amendment Bill, case studies and recent enforcement will also be discussed.

Benefits:

This course examines:

- the 2010 Act and regulations;
- the 2012 Anti-Money Laundering Amendment Bill;
- Guidelines and Guidance Notes;
- the FATF 40 recommendations and 9 special recommendations;
- Central Bank's AML/CFT directions;
- implementing Customer Due Diligence requirements, internal policies & procedures and on-going monitoring in a practical risk-based manner;
- enforcement and investigative powers of Garda and Central Bank
- powers to freeze assets by Garda (by direction) and the District Court (by order)

Implementing Fit and Proper in your Business

Course Dates:

Tuesday 26th February, 10 am - 12 noon

Tuesday 11th June, 10 am – 12 noon

Course Fee:

€220

(All training fees are VAT exempt)

Course Venue:

Compliance Ireland Training, 13 Adelaide Road, Dublin 2

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Summary:

This 2 hour course aims to provide course attendees with a better understanding of the key points of the Fit & Proper Regime and how implementing the regime will affect their business.

Benefits:

Course attendees will gain knowledge on:

- Scope of the regime
- Timeline for implementation
- Directors' certification requirements
- Control Functions and Pre-approved Control Functions
- The I.Q. Form
- Whistle-blower regime
- Enforcement
- Effects of the Regime on your business

Who should attend:

- Directors (Executive and Non-Executive)
- Compliance Officers
- Customer Relationship staff & managers
- Heads of Risk
- Heads of Internal Audit

Anti-Money Laundering & Terrorist Financing

Course Dates:

Thursday 28th February 2013, 9.00 am – 5.00 pm

Thursday 18th April, 2013, 9.00 am – 5.00 pm

Thursday 27th June 2013, 9.00 am – 5.00 pm

Course Fee:

€620 for first attendee

€550 for 2nd attendee from same firm attending same day

(All training fees are VAT exempt)

Course Venue:

Camden Court Hotel, Camden Street, Dublin 2.

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Summary:

This full day course gives practical guidance and high quality training material on

(a) Irish anti-money laundering/terrorist financing laws including the 2010 Act and the 2012 Anti-Money Laundering Amendment Bill, and

(b) February 2012 Guidance Notes. It will enable attendees to practically implement the Criminal Justice (Money Laundering and Terrorist Financing) Act.

Key differences between the new Irish AML regime and those of the UK and the USA will be addressed.

Benefits:

The course looks at:

- The context of the AML/CTF regime
- The key legal requirements
- Customer Due Diligence Requirements
- Risk Assessment obligations
- Implementation of procedures and training
- Reporting Requirements
- Monitoring, supervision and enforcement

This course examines:

- the 2010 Act and regulations;
- the 2012 Anti-Money Laundering Amendment Bill;
- the Sanctions Lists requirements;
- Guidelines and Guidance Notes;
- the FATF 40 recommendations and 9 special recommendations;
- Central Bank's AML/CFT directions;
- other EU Financial Crime initiatives,
- implementing Customer Due Diligence requirements, internal policies & procedures and on-going monitoring in a practical risk-based manner;
- enforcement and investigative powers of Garda and Central Bank
- powers to freeze assets by Garda (by direction) and the District Court (by order)
- implementing the risk-based approach across your entire business, your product range and the countries in which you do business

training of staff and directors in your firm on their responsibilities under the Law.



Corporate Governance

Course Dates:

Tuesday 5th March 2013, 9.15 am – 1.15 pm

Wednesday 1st May 2013, 9.15 am – 1.15 pm

Course Fee:

€380 per attendee

(All training fees are VAT exempt)

Course Venue:

Compliance Ireland Training, 13 Adelaide Road, Dublin 2

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Summary:

This half day course provides a practical, hands-on workshop for directors and senior management of Irish regulated credit, financial, insurance and reinsurance services firms, including investment funds, detailing their responsibilities and requirements under Irish Corporate Governance rules and regulations and how to organise your corporate structure in line with law and recommendations from the Central Bank. With our experience and qualifications we will provide insightful and practical guidance on how to successfully implement a positive corporate governance strategy in financial and insurance entities.

Benefits:

The course will look at the broad topics of:

- The Role of Boards;
- Accounting Responsibilities;
- Risk Assessment and Planning Strategy;
- Enhancing Performance
- Central Bank Expectations

The course will examine obligations under the following Acts and Regulations, including:

- Companies Acts
- Market Abuse Regulations
- Recent litigation and ODCE actions
- Transparency Regulations
- Insurance Regulations
- Solvency II
- Prospectus Directive
- MiFID Regulations
- UCITS Regulations
- Compliance Statements
- Central Bank issued codes, notices and guidance
- ODCE Guidance
- Data Protection
- Anti-Money Laundering and Counter-Financing of Terrorism
- Central Bank Recommendations to MiFID firms on Corporate Governance
- Specific requirements following introduction of new Bank Guarantee/NAMA laws

Director's Training – Anti-Money Laundering and Counter Terrorist Financing

Course Dates:

Wednesday 6th March 2013, 10 am – 12 noon

Thursday 30th May 2013, 10 am – 12 noon

Course Fee:

€220 per attendee

(All training fees are VAT exempt)

Course Venue:

Compliance Ireland Training, 13 Adelaide Road, Dublin 2

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Summary:

The 2010 Anti-Money Laundering and Counter Terrorist Financing Act and the Guidance notes set out a requirement for annual staff training on AML. Recent sanctions from the Central Bank of Ireland have specified the requirement for all directors to receive training and to demonstrate full awareness of their obligations under the Criminal Justice (Money Laundering and Terrorist Financing) Act 2010. This 2 hour briefing discusses their responsibilities under the 2010 Act. The main focus includes director's duties and obligations under the Act. Also, the 2012 Anti-Money Laundering Amendment Bill, case studies and recent Irish and international enforcement will also be discussed.

Benefits:

This course examines:

- the 2010 Act and regulations;
- the 2012 Anti-Money Laundering Amendment Bill;
- Guidelines and Guidance Notes;
- the FATF 40 recommendations and 9 special recommendations;
- Central Bank's AML/CFT directions;
- implementing Customer Due Diligence requirements, internal policies & procedures and on-going monitoring in a practical risk-based manner;
- enforcement and investigative powers of Garda and Central Bank
- powers to freeze assets by Garda (by direction) and the District Court (by order)

Introduction to Financial Services Regulation in Ireland

Course Dates:

Thursday 7th March 2013, 9.15 am – 1.15 pm

Thursday 6th June 2013, 9.15 am – 1.15 pm

Course Fee:

€380

(All training fees are VAT exempt)

Course Venue:

Compliance Ireland Training, 13 Adelaide Road, Dublin 2

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Summary:

This half day course is designed to provide a detailed overview of financial services regulation in Ireland and Europe. This course is invaluable for management of regulated firms and professional advisors.

Benefits:

By attending this course, participants gain an understanding of:

- the EU Financial Services Action Plan;
- National transposition and non-compliance;
- The role of the EBA, ESMA and EIOPA;
- European initiatives – Banking, Investment business, Insurance and Funds regulation;
- Capital adequacy;
- Principles based approach;
- Financial Regulator's Strategic Plan;
- Fit & Proper and minimum competency requirements;
- Central Bank Acts;
- MiFID Regulations;
- UCITS Regulations;
- Insurance Rulebooks;
- Insurance Mediation Regulations;
- Investment Intermediaries Act;
- Prospectus Regulations;
- Market Abuse Regulations.

Directors Duties and Corporate Governance – Credit, Financial and Insurance Institutions regulated in Ireland

Course Dates:

Tuesday 12th March 2013, 9 am – 5 pm

Thursday 13th June 2013, 9 am – 5 pm

Course Fee:

€620 for first attendee

€550 for 2nd attendee from same firm attending same day

(All training fees are VAT exempt)

Course Venue:

Camden Court Hotel, Camden Street, Dublin 2.

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Summary:

This full day course provides Directors and senior management with a practical understanding of key corporate governance obligations. With the advent of the new Corporate Governance Requirements as well as general Market Abuse, MiFID, AML, Insurance, Consumer Protection Code, & Solvency II issues, this course is a 'must attend' for executive directors, non-executive directors and senior management. The creator and presenter of this course: (i) is a non-executive director of Irish financial firms; (ii) is in the first group to undertake in Ireland the 'Chartered Director' academic qualifications (the international benchmark for directors); (iii) presents extensively on the topic of directors' duties at Irish financial firms.

Benefits:

The course looks at the broad topics of:

- The role of Directors and Non-Executive Directors;
- The Role of Boards;
- Selection of NEDs;
- Accounting Responsibilities;
- Audit Committees and other Committees;
- Risk Assessment and Planning Strategy;
- Enhancing Performance

The course examines how the functions above are impacted by specific directors' obligations, including:

- Companies Acts
- Market Abuse Regulations
- Recent litigation and ODCE actions
- Transparency Regulations
- Insurance Regulations
- Solvency II
- Prospectus Directive
- MiFID Regulations
- UCITS Regulations
- Compliance Statements
- Central Bank issued codes, notices and guidance
- ODCE Guidance
- Data Protection
- Anti-Money Laundering and Counter-Financing of Terrorism
- Specific requirements of directors following introduction of new Bank Guarantee/NAMA laws

Complaints Handling & Treating Customers Fairly (Consumer Protection Code)

Course Dates:

Wednesday 13th March 2013, 9.15 am – 1.15 pm

Tuesday 28th May 2013, 9.15 am – 1.15 pm

Course Fee:

€380

(All training fees are VAT exempt)

Course Venue:

Compliance Ireland Training, 13 Adelaide Road, Dublin 2

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Summary:

With the preservation of a strong consumer protection focus by the Central Bank, 'Complaints Handling' and 'Treating Customers Fairly' (under the Consumer Protection Code) is a priority for customer/consumer-facing firms. The manner in which consumers & customers are treated will be the subject of continued supervision and enforcement work by the Central Bank in 2011. Using the latest case studies from the Central Bank and Financial Services Ombudsman, this course is essential for firms wishing to demonstrate their understanding of, and compliance with, these important principles and integrate these into their businesses and culture. This course covers the Ombudsman's new compliant procedures. This course will be of benefit to MiFID firms as there is no underlying rule on how these firms must handle complaints under MiFID Regulation 38.

Benefits:

By attending this course participants will:

- understand Central Bank's and the FSO's requirements in this key area;
- understand Central Bank's and FSO's expectations of senior management and staff involved in complaints handling;
- how the principle of treating customers fairly interacts with your firm's complaints handling requirements;
- develop their understanding of TCF;
- be equipped to begin to assess their firm's compliance with complaints handling procedures and the TCF principle;
- be in a position to recognise and effectively close gaps in policies, procedures and processes;
- know the common problems and weaknesses encountered in industry;
- understand the questions the Central Bank's supervisors might ask and areas they might review;
- gain a full understanding of the full role and powers of the FSO;
- learn the fundamentals of making objective decisions with regard to consumer complaints;
- increase your confidence and competence; and
- understand how appropriate procedures and processes will build positive customer relationships and reduce the need for cases to be referred to the FSO.
- mock examples of complaints will be utilised to show how complaint should be properly handled.

Dignity in the Workplace

Course Dates:

Thursday 14th March 2013, 10 am – 12 noon

Tuesday 18th June 2013, 10 am – 12 noon

Course Fee:

€220

(All training fees are VAT exempt)

Course Venue:

Compliance Ireland Training, 13 Adelaide Road, Dublin 2

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Purpose:

Current Employment Legislation in Ireland requires every Employer to have a 'Dignity in the Workplace Policy' and also to train all staff in the area of bullying, harassment and sexual harassment. Increasingly, employers are falling foul of the Courts for not having adequate policies, procedures and training in place. It is also becoming apparent that Employers are unsure of how to deal with a complaint when it arises and the best approach to adopt to bring it to a satisfactory conclusion for both the Employer and Employee.

This half day course outlines the practice and procedure to follow in order for the employer to be compliant with the legislation. It also focuses on the procedure to be followed should an investigation into a disciplinary issue be needed.

Course Contents:

- Definition of Bullying, Harassment and Sexual Harassment including real life examples and case studies
- Sample Dignity in the Workplace Policy
- Current Employment Legislation
- Disciplinary and Grievance policy and procedure
- Dealing with the initial complaint
- Informal and Formal Approach
- Investigations

Course Outcome:

On completion of the course, participants will have an understanding of:

- Important Employment Legislation relating to Bullying, Harassment and Sexual Harassment
- How to construct a Dignity in the Workplace Policy and Procedure
- How to critically evaluate existing Disciplinary and Grievance Policy and Procedure
- The informal and formal approach and how best to handle a difficult situation
- The Investigation process.

Who should attend?

- Directors, (Executive and non-Executive)
- Compliance Officers
- Employee Relationship Managers
- HR Personnel



Ethics

Course Dates:

Wednesday 20th March 2013, 10 am – 12 noon

Wednesday 5th June 2013, 10 am – 12 noon

Course Fee:

€220 per attendee

(All training fees are VAT exempt)

Course Venue:

Compliance Ireland Training, 13 Adelaide Road, Dublin 2

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Summary:

The Minimum Competency Code published by The Central Bank of Ireland effective from December 1st, 2011 introduced the requirement for a specific “ethics module”. In response to this Compliance Ireland has developed a 2 hour Ethics course for Regulated Financial firms.

Course Contents:

The sessions deal with the following:

- What are ethics?
- How to follow the ethical route in a Regulated Financial Firm
- What does the Central Bank expect?
- How organisations can promote ethical behaviour
- Does having ethics pay?
- Case Studies and Practical Examples

Risk-Based Compliance Monitoring for Financial Institutions

Course Dates:

Thursday 21st March 2013, 9 am – 5 pm

Wednesday 26th June 2013, 9 am – 5 pm

Course Fee:

€620 for first attendee

€550 for 2nd attendee from same firm attending same day

(All training fees are VAT exempt)

Course Venue:

Camden Court Hotel, Camden Street, Dublin 2.

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Summary:

With the advent of its new supervision and enforcement regime, the Central Bank is demanding that firms demonstrate compliance with applicable rules, codes & laws. Other examples of the Central Bank's power in this area include: (a) inspection visits; and (b) its right to compel firms to furnish a Compliance Statement either generally or in relation to a specific area. Consequently the regulatory responsibilities and the management demands placed upon Compliance professionals have escalated sharply.

One of the best ways to help demonstrate your firm's compliance with, not just rules, codes & laws, but also your contractual obligations under service agreements, is by implementing a Risk Based Compliance Monitoring Programme (RBCMP). A properly designed and structured RBCMP will help your firm identify gaps between (1) its obligations and (2) its performance against those obligations, while at the same time demonstrating the value-added benefits of your Compliance Function. Compliance Ireland has developed a one day training course that outlines best practice in creating and adopting an RBCMP.

Course Content:

The following topics will be covered in the course:

- Setting the Regulatory context for you and your firm
- The different types of risks that your business may face (including looking at a template risk Universe?)
- Risks that the compliance function should be monitoring
- How to assess the firms risk appetite and looking at risk controls
- How to assess these risks using different methodologies

The course will also look at different monitoring stages including the following:

- Preliminary Survey
- Fieldwork
- Evidence
- Reporting

The trainer will outline best practice for simple documentation of the compliance risk assessment process as well as the actual monitoring process which will enable the delegate to create useful management information.

The final session will look at developing soft skills which include:

- how to obtain buy-in from your directors & operational co-workers
- how to apply the skills learnt today to 3rd parties/subsidiaries
- Business focussed compliance risk monitoring.



The Minimum Competency Code

Course Dates:

Tuesday 26th March 2013, 9.15 am – 1.15 pm

Course Fee:

€380 per attendee

(All training fees are VAT exempt)

Course Venue:

Compliance Ireland Training, 13 Adelaide Road, Dublin 2

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Summary:

The Central Bank of Ireland issued its new Minimum Competency Code (MCC) on 1 September 2011 replacing the Minimum Competency Requirements which came into effect on 1 January 2007. The Code took effect on 1 December 2011 and replaces the Requirements from that date.

This half day training course will help to enable appropriate personnel to record, monitor, and plan for the Minimum Competency Code for existing personnel and new recruits. It will outline the requirements needed on a day to day basis including compliance, recording and monitoring. It will also outline the requirements needed in the Employee Handbook, Employee Contracts etc.

Course Content:

Section 1: How MCC fits into Fit and Proper Standards

- Minimum Competency Standards
- Recognised Qualifications
- Demonstrating appropriate experience and qualifications

Section 2: New Entrants

- Initial Training
- Supervision
- Working Towards a recognised qualification
- Time frames

Section 3: Grandfathering Arrangements

- What is acceptable
- What needs to be done
- Grandfathering assessment
- Compliance with experience requirement
- CPD requirement

Section 3: Prescribed Script Function

- Requirements of devising a script
- Training programme
- Additional on-going training requirements
- Procedure when requests for information and advice occur
- Supervision

Section 4: Continuing Professional Development (CPD)

- On-going Maintenance of CPD
- Timeframes for qualification holders
- Timeframes for Grandfathered persons
- Functions
- Procedure for surplus hours
- Procedure for Shortfalls
- Formal CPD Hours
- Procedure for Undertaking CPD hours



- Procedure for Pro-Rata Adjustment of CPD Hours

Section 5: Records Requirements

- Procedure for recording and monitoring qualified persons and grandfathered persons
- Procedure for recording breaches of CPD requirements
- Procedure for recording Pro-Rata adjustments
- Procedure for recording all other relevant documentation

Section 6: Minimum Competency Qualifications

- Procedure for outlining recognised qualifications for each particular job role
- Exemptions from recognised qualifications
- Procedure for recording and recording other qualifications that may meet competencies

Capital Requirements Directive for Investment Firms

Course Dates:

Tuesday 9th April 2013, 9 am – 5 pm

Course Fee:

€620 for first attendee

€550 for 2nd attendee from same firm attending same day

(All training fees are VAT exempt)

Course Venue:

Camden Court Hotel, Camden Street, Dublin 2.

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Summary:

This intensive full day course provides a practical, hands-on workshop on completing the Capital Requirements Directive filings for Central Bank and understanding the underlying legislation. The course also looks at the Pillar 2 ICAAP Process and the Pillar 3 public disclosure requirements.

Benefits:

By attending this course participants will gain critical knowledge on:

- completing the automated filing template documents by reference to Guidance and spreadsheets produced by the Central Bank
- the scope of the CRD Requirements by reference to:
 - the European Communities (Capital Adequacy of Investment Firms) Regulations 2006
 - the European Communities (Capital Adequacy of Credit Institutions) Regulations 2006
 - the amending Regulations issued in 2009 and 2010
 - the Capital Requirements Directives – CRD I, CRD II and CRD III
 - the Banking Consolidation Directive
 - guidance issued by the Central Bank
 - national discretions adopted by the Central Bank
- Calculating Initial Capital
- Defining Own Funds
- Calculating Minimum Own Funds
- Understanding the definition of Trading Book
- Calculating Credit Risk & Dilution Risk
- Calculating Position Risk
- Calculating Settlement and Counterparty Risk
- Calculating Foreign Exchange Risk
- Calculating Commodity Risk
- Calculating Operational Risk and permitted advanced approaches
- The Pillar 2 Internal Capital Adequacy Process
 - The Process and the Process Document
 - The ICAAP Questionnaire reporting for simple firms
 - The ICAAP Portal reporting for complex firms
- The Pillar 3 public disclosures
 - Required capital disclosure
 - Required risk disclosures



E-Money Directive

Course Dates:

Tuesday 9th April 2013, 10 am – 12 noon

Course Fee:

€220

(All training fees are VAT exempt)

Course Venue:

Compliance Ireland Training, 13 Adelaide Road, Dublin 2

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Overview:

On 16 September 2009, the European Council and of the Council of Ministers adopted Directive 2009/110/EC (the “E-Money Directive”). This was transposed into Irish Law with the European Communities (Electronic Money) Regulations 2011.

The objectives of the E Money Directive are to:

- To enable innovation within the market
- To establish a single passport for EU Electronic Money Institutions
- To establish legislation that is consistent with the Payment Services Directive

This course aims to outline the main requirements of the E Money Directive as transposed into European Communities (E Money) Regulations in 2011. It looks at the technical provisions as well as best practice for implementation of the requirements

Course Content:

- High Level Obligations
- E Money Directive Overview
- Authorisation and Registration of Electronic Money Institutions(including conditions of authorization)
- Registration of small electronic money institutions
- Restrictions in Electronic Money Institutions
- Issuance and redeemability of electronic money
- Powers and duties of the Central Bank of Ireland
- Offences and Penalties

Course Outcome:

After completion of this course, participants will have an understanding of the technical requirements of the E Money Regulations. The course will also provide an understanding of how regulated firms should implement the Regulations and the obligations and duties that it puts on them.

Important Employment Law Issues and How to Address Them

Course Dates:

Wednesday 10th April 2013, 9.15 am – 1.15 pm

Course Fee:

€380

(All training fees are VAT exempt)

Course Venue:

Compliance Ireland Training, 13 Adelaide Road, Dublin 2

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Purpose:

Employment Law is becoming increasingly complex and Employers, Directors and Managers are becoming daunted by the volume of legislation, case law and policies and procedures that currently exist in Ireland today.

This half day course is designed to deliver an overview of important employment law issues and how to ensure organisational compliance with these aspects of Employment Law. It provides sample policies and procedures and focuses on key changes and developments.

Course Contents:

- Important Irish and European Case Law and Legislation
- Developing an Employee handbook
- Employee Contracts
- Absenteeism at Work
- Social Media and Internet Usage Policy
- Surveillance at work

Course Outcome:

On completion of the course, participants will have an understanding of:

- Key Irish and European Case law and why they are significant to organisations
- Importance of an Employee handbook, how to go about preparing one. (A sample handbook will be provided)
- Essential Terms of an Employee Contract and how to draft one that is in compliance with Irish Legislation.
- Dealing with absenteeism at work.
- Tackling serial short-term absenteeism
- Letting staff go legally
- Protecting your organisation against misuse of social media
- Legal aspects of surveillance at work i.e. what is acceptable and unacceptable

Who should attend?

- Directors, (Executive and non-Executive)
- Compliance Officers
- Employee Relationship Managers
- HR Personnel



The Role of the Compliance Officer - for Banks and Investment Firms

Course Dates:

Thursday 11th April 2013, 9 am – 5 pm

Course Fee:

€620 for first attendee

€550 for 2nd attendee from same firm attending same day

(All training fees are VAT exempt)

Course Venue:

Camden Court Hotel, Camden Street, Dublin 2.

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Summary:

This full day course provides an intensive and practical examination of the growing regulatory issues, including laws & rules (including the new 'controlled functions' under the Central Bank Reform Act 2010), domestic and international developments and relevant Central Bank Consultation Papers, which financial services firms must know and understand to help demonstrate compliance. The course explains professional and personal responsibility of authorised persons including Compliance Officers and senior management and examines important practical areas of compliance not addressed in the rulebooks, i.e. structuring your Compliance Function and writing your Compliance Manual.

Benefits:

The course examines the Central Bank's perspective:

- key statutory requirements including regulatory objectives,
- Central Bank supervision and enforcement strategies for 2011-2012,
- role of the Compliance Officer and the Controlled Function,
- Supervision and Enforcement,
- Funding mechanism and the levy process,
- Compliance Statements and Certificates

The Conduct of Business rulebooks – for Banks, fund administrators & trustees, other investment firms: Codes of Conduct, UCITS/Non-UCITS Notices, & key aspects of MiFID, CRD and ICAAP for credit and financial institutions.

The course examines the role of Compliance Officers in Irish financial services firms today –

- personal accountability & the boundaries of the Compliance Function;
- structuring a Compliance Function;
- what the Compliance Function's terms of reference should include;
- helping to create a 'Compliance Culture' within your firm;
- what your Compliance Manual should include;
- the ongoing obligation to train staff; and
- factors to consider when designing a compliance monitoring programme.

The course also examines the Central Bank's supervision & enforcement regime – the Central Bank's 'supervisory toolkit', work of the enforcement division, its new powers under the Central Bank Reform Act 2010, how they will work, and a comparison to other regulatory systems to help see how the regulator will respond to breaches.

The new impact metrics consultation paper CP49 is also examined.



Understanding Solvency II

Course Dates:

Tuesday 16th April 2013, 9 am – 5 pm

Course Fee:

€620 for first attendee

€550 for 2nd attendee from same firm attending same day

(All training fees are VAT exempt)

Course Venue:

Camden Court Hotel, Camden Street, Dublin 2.

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Summary:

This full day course sets out the new requirements for insurance firms, what needs to be done to implement it and what lessons were learnt from previous experience in other sectors.

Benefits:

By attending this course participants gain an understanding of:

- Timetable for introduction and Central Bank adoption requirements
- Role of EIOPA (formerly CEIOPS)
- Role of the group supervisor
- Use and approval of internal models
- Pillar 1 – Quantitative Pillar
 - Valuation of Technical Provisions
 - Minimum Capital Requirement
 - Solvency Capital Requirement
- Pillar 2 – Qualitative Pillar
 - Own Risk and Solvency Assessment
 - Supervisory Review Process
- Pillar 3 – Disclosure Pillar
 - Annual report on solvency and financial condition.
- Corporate Governance requirements
 - Risk Management function
 - Internal Control/Compliance function
 - Internal Audit function
 - Actuarial function
- Previous experience when applied to investment firms

Consumer Protection Code 2012

Course Dates:

Tuesday 16th April 2013, 9.15 am – 1.15 pm

Wednesday 19th June 2013, 9.15 am – 1.15 pm

Course Fee:

€380 (All training fees are VAT exempt)

Course Venue:

Compliance Ireland Training, 13 Adelaide Road, Dublin 2

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Purpose:

The Consumer Protection Code (2012 Code), comes into effect from 1 January 2012 for regulated entities including banks, insurance and investment companies and intermediaries. The Code strengthens protections for consumers of financial institutions.

Bernard Sheridan, Director of Consumer Protection, commented, *“Consumer protection is a key priority for the Central Bank and the publication of the revised Code is the culmination of a significant review and consultation process to strengthen the existing consumer protection framework. A range of significant enhancements have been made to the Code in order to address areas of concern and to ensure that consumers are adequately protected in their dealings with financial entities. These enhancements include additional protections for vulnerable consumers and stricter rules to prevent borrowers in arrears from being harassed.”*

This half day course aims to provide attendees with an understanding of the basis, scope and main provisions of the code including analysis of the increased protections for consumers. The course will also provide attendees with an understanding on how to practically implement the requirements of the Code.

Course Content:

- General Requirements
- Provision of Information
- Knowing the Consumer and Suitability
- Post-Sale Information Requirements
- Rebates and Claims Processing
- Arrears Handling
- Advertising
- Errors and Complaint Resolution
- Records and Compliance

Course Outcome:

On completion of the course, participants will have an understanding of:

- Key consumer protections that the Code puts on a Statutory basis
- How to practically implement these requirements

Who should attend?

- Directors (Executive & Non Executive)
- Compliance Officers
- Customer relationship staff & managers
- Internal Audit



Central Bank Inspections & Enforcement

Course Dates:

Wednesday 17th April 2013, 9.15 am – 1.15 pm

Tuesday 25th June 2013, 9.15 am – 1.15 pm

Course Fee:

€380

(All training fees are VAT exempt)

Course Venue:

Compliance Ireland Training, 13 Adelaide Road, Dublin 2

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Summary:

This half day course provides a practical, hands-on workshop on handling and managing Central Bank inspections which the regulator is conducting under its statutory/regulatory objectives. It also provides a detailed look into the work of the Enforcement Division.

Benefits:

Our in-depth experience as consultants has led us to conclude that many firms, although they may suffer a regulatory failure, compound issues by:

- not having a compliance risk map;
- not knowing their business model;
- not knowing key regulatory obligations;
- not being up-front with the regulator;
- failing to address the regulator's concerns;
- not understanding the risks their business poses to consumer, financial stability and regulatory reputation; and
- not identifying and managing staff likely to be of interest to the regulator during visits.

By attending this course participants gain critical knowledge on the above points, plus a full understanding of the conduct of Central Bank inspections, including its powers and modus operandi, pre-inspection documentation requests, on-site documentation reviews, the interview process and regulatory administrative sanctions. Inspections by the Central Bank involve the interviewing of directors (executive and non-executive), senior staff and reviews and assessments of documents to enable it to determine its risk assessment and perceived deficiencies at your firm. Managing a Central Bank visit is vital and failing to do so may give the Central Bank an unfair impression of your businesses.

We have helped many firms (banks, investment firms, intermediaries and insurers) in this space and the skills we will impart at training will give you the information, knowledge, documentation and confidence to handle an inspection by the Central Bank.



PRISM

Course Dates:

Wednesday 24th April 2013, 1 pm – 2 pm

Tuesday 11th June 2013, 1 pm – 2 pm

Course Fee:

€100 per attendee

(All training fees are VAT exempt)

Course Venue:

Compliance Ireland Training, 13 Adelaide Road, Dublin 2

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Summary:

The Central bank of Ireland believes that systematic risk-based supervision is the best way to supervise all financial firms in a way which makes it materially less likely that they will, collectively or individually, fail in a way which endangers financial stability or consumers. They have developed PRISM (Probability Risk and Impact System) in order to achieve this.

Under PRISM, the most significant firms will receive a more intrusive form of supervision under structured engagement plans. The Central bank envisages that this will lead to early intervention to mitigate potential risks. Firms, who have been provided with a lower risk potential will be supervised reactively or through thematic inspections. This 1 hour briefing will outline how the Central Bank will use PRISM will supervise your firm. It will also explain how it will use risk mitigation programmes to reduce the risk to an acceptable level within the risk appetite of the Central Bank.

Course Contents:

The briefing will explain the following areas:

- What is risk based supervision
- How PRISM works
- Engagement and Supervision
- Risk appetite
- How the Central Bank will judge probability of failure
- Use of enforcement as a form of supervision
- Risk Mitigation Programmes
- Quality Assurance

Course Outcome:

After completion of the course participants will have an understanding of how PRISM will work for their firm and how the Central Bank will engage with their firm. It will put participants in a position to outline to their firm the risk appetite of the Central Bank and how they will use risk mitigation programmes to effectively manage different risks in firms

Data Protection and How to Conduct a Data Protection Audit

Course Dates:

Tuesday 30th April 2013, 9 am – 5 pm

Thursday 20th June 2013, 9 am – 5pm

Course Fee:

€620 for first attendee

€550 for 2nd attendee from same firm attending same day

(All training fees are VAT exempt)

Course Venue:

Camden Court Hotel, Camden Street, Dublin 2.

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Summary:

This full day course is essential for any firm that uses personal data of customers and/or staff. Delivered in two workshops:

- The morning workshop examines (a) the Data Protection laws & the eight data protection principles (i.e. collection, treatment, permitted processing, retention, storage & security of electronic and manual personal data); and (b) practicalities of compliance (i.e. drafting policies & procedures, staff training, privacy statements) and responsibilities of the Data Protection Officer.
- The afternoon workshop develops relevant skills required to confidently carry out a data protection audit. This course should be attended by Data Protection, HR and Client Facing Staff of firms holding personal and sensitive personal data of customers, staff & others (including internet and telephony records).

Benefits:

This course addresses:

- What is Personal Data and Sensitive Personal Data under the Data Protection Acts
- The key provisions of the Data Protection Acts
 - processing of personal data,
 - security of personal data,
 - the statutory requirement for record retention,
 - access requests,
 - transfers of personal data outside the EEA,
 - corporate and senior management responsibility,
 - unauthorised disclosure,
 - confidentiality and whistle-blowing.
- The Eight Data Protection Principles
 - what each principle means,
 - examples of how others have fallen foul of them,
 - what you can do to help ensure that your firm doesn't.
- Employee records
 - how to deal with personal data collected in the recruitment process,
 - details of sickness and other absences,
 - records of employees' personal use of email,
 - internet access & taped telephone calls.
- Practicalities of Data Protection compliance
 - drafting a data protection/data handling policy and procedures;
 - training of staff;
 - monitoring your firm's compliance; privacy statements; and
 - the responsibilities of the Data Protection Officer.

The afternoon session provides an intensive workshop on How to Conduct a Data Protection Audit at which attendees will apply their data protection knowledge to learning about the most effective ways to carry out a data protection audit/self-assessment.



The Role of the Compliance Officer - for Insurance Firms

Course Dates:

Thursday 2nd May 2013, 9 am – 5 pm

Course Fee:

€620 for first attendee

€550 for 2nd attendee from same firm attending same day

(All training fees are VAT exempt)

Course Venue:

Camden Court Hotel, Camden Street, Dublin 2.

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Summary:

This full day course provides an intensive and practical examination of the growing regulatory issues, including laws & rules (including the new 'controlled functions' under the Central Bank Reform Act 2010), domestic and international developments and relevant Central Bank Consultation Papers, which financial services firms must know and understand to help demonstrate compliance. The course explains professional and personal responsibility of authorised persons including Compliance Officers and senior management and examines important practical areas of compliance not addressed in the rulebooks, i.e. structuring your Compliance Function and writing your Compliance Manual.

Benefits:

The course examines the Central Bank's perspective on:

- key statutory requirements including regulatory objectives,
- Central Bank supervision and enforcement strategies for 2011-2012,
- role of the Compliance Officer and the Controlled Function,
- Supervision and Enforcement,
- Funding mechanism and the levy process,
- Compliance Statements and Certificates

The Conduct of Business rulebooks – for Insurance: Industry Codes of Practice, the Insurance Mediation Directive, the Life & non-Life Directives, Reinsurance Directive and other regulatory insurance issues, including Solvency II.

The course examines the role of Compliance Officers in Irish financial services firms today –

- personal accountability & the boundaries of the Compliance Function;
- structuring a Compliance Function;
- what the Compliance Function's terms of reference should include;
- helping to create a 'Compliance Culture' within your firm;
- what your Compliance Manual should include;
- the ongoing obligation to train staff; and
- factors to consider when designing a compliance monitoring programme.

The course also examines the Central Bank's supervision & enforcement regime – the Central Bank's 'supervisory toolkit', work of the enforcement division, its new powers under the Central Bank Reform Act 2010, how they will work, & a comparison to other regulatory systems to help see how the regulator will respond to breaches.

The new impact metrics consultation paper CP49 is also examined.

Code of Conduct on Mortgage Arrears

Course Dates:

Wednesday 8th May 2013, 10 am – 12 noon

Course Fee:

€220

(All training fees are VAT exempt)

Course Venue:

Compliance Ireland Training, 13 Adelaide Road, Dublin 2

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Summary:

This 2 hour course aims to provide course attendees with an understanding of the revised Code of Conduct on Mortgage Arrears which became effective on 1st January 2011. This course will describe the basis and scope of the code. It takes a practical look at the arrears handling process and considers the timelines and documentation involved in processing arrears cases.

Benefits:

By attending this course, participants gain an understanding of:

- Basis and Scope of Code
- Treatment of Legacy Cases pre-2011
- The Arrears Support Unit and branch arrangements
- Systems and Training Requirements
- Provision of information to the borrower
- Mortgage Arrears Resolution Process [MARP]
 - What the MARP is and when it applies
 - MARP 1: Communication with the borrower
 - MARP 2: Financial Information
 - MARP 3: Assessment
 - MARP 4: Resolution
 - MARP 5: Appeals
- Repossessions and legal efforts
- Regulatory documentation requirements

Who should attend:

This course is designed for persons at all levels in financial institutions likely to have exposure to arrears cases, whether from general management or from specialised Arrears Support Units.

Understanding MiFID

Course Dates:

Thursday 9th May 2013, 9 am – 5 pm

Course Fee:

€620 for first attendee

€550 for 2nd attendee from same firm attending same day

(All training fees are VAT exempt)

Course Venue:

Camden Court Hotel, Camden Street, Dublin 2.

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Summary:

This full day course provides a practical, hands-on workshop on the Irish Regulations implementing MiFID. The course focuses on key MiFID requirements and best practice, covering how to implement the new obligations into your operations. This course will get you ready for the Central Bank's ongoing MiFID themed inspections.

Benefits:

By attending this course, participants gain critical knowledge on:

- the scope of the MiFID Requirements:
 - including all Regulations, laws and other Directives, rules and notices issued locally and at the EU level
 - key differences between implementation in Ireland and other jurisdictions
- impact on the business and new business opportunities
 - the positive aspects of MiFID, passporting and business growth potentials
 - achieving economies of scale – using MiFID data for the 3rd EU AML Directive and other internal risk maps
 - reviewing business and amendments to client contracts/terms of business
- client/counterparty classifications and terms of business:
 - understanding the new three tier level of classification (retail & professional clients and eligible counterparties)
- Irish 'MiFID' conduct of business rules and distinguishing between non-MiFID rules (e.g. Consumer Protection Code / UCITS / CRD)
- products and services offered to clients (and investors):
 - what to expect and how to identify potential problems within existing and new client relationships.
 - understanding how products and services remain suitable and compliant under MiFID
- best execution policies and rules - demystifying best execution and venue execution issues
- transaction reporting:
 - pre and post trade reporting requirements
- implementing appropriate outsourcing arrangements
 - reviewing service level agreements with TPAs and incorporating necessary changes
- senior management responsibility across compliance, operations and risk functions
 - collective responsibility for compliance failures
 - personal responsibility for corporate/board failures
- other issues/items/papers released by the Department of Finance / Central Bank / ESMA before each training date (if a critical document is issued in between courses, all attendees will receive that material and an explanation of its impact)
- ESMA updates, guidance and measures will be covered
- CRD requirements such as the Internal Capital Adequacy Assessment Process and the Pillar 3 public disclosures will be studied.

Establishing the Internal Audit Function

Course Dates:

Tuesday 14th May 2013, 9.15 am – 1.15 pm

Course Fee:

€380

(All training fees are VAT exempt)

Course Venue:

Compliance Ireland Training, 13 Adelaide Road, Dublin 2

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Summary:

This half day course covers the basic foundations for establishing and running an effective internal audit function in regulated financial services businesses and shows how the internal audit function will add to the bottom-line (or at very least, not detract from the bottom-line!).

Benefits:

The course looks at:

- The role of the internal audit function in the firm's governance mechanisms
- The distinction between internal audit and external audit
- Setting terms of reference for the internal audit function
- The relationship between internal audit and supervisory authorities
- Outsourcing the internal audit function
- Integrating the work of internal audit, compliance and risk management functions for maximum effectiveness

The course examines:

- Principles underlying a sound, capable internal audit function, across various Directives including MiFID, Solvency II and Reinsurance
 - Independence
 - Objectivity and Impartiality
 - Authority
 - Access
 - Reporting
 - Remuneration
 - Resources
 - Scope
 - Key Findings
- Competence
- New Products, Working methods and types of audits
- Risk-focus and audit plan
- The audit process from plan to report
- Procedures
- Managing the internal audit department
- Performance assessment metrics and the balanced scorecard

An effective and well structured internal audit function is not just imperative, but is a regulatory requirement, under Irish (and overseas) banking, MiFID and insurance regulatory systems. The current banking and investment scandals both in Ireland and abroad make this course a must for senior management and internal auditors.

UCITS IV

Course Dates:

Thursday 16th May 2013, 9.15 am – 1.15 pm

Course Fee:

€380

(All training fees are VAT exempt)

Course Venue:

Compliance Ireland Training, 13 Adelaide Road, Dublin 2

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Summary:

This half day course aims to provide attendees with the necessary understanding of the UCITS IV Regulations and the underlying Directive, to understand the various requirements and better implement them in their business.

Benefits:

This course will provide attendees with a better understanding of the following:

- Background to Funds
- Scope of the Regulations
- Authorisation Process
- Activities of the Management Company
- Organisational Requirements
- Outsourcing Requirements
- Conduct of Business Requirements
- Complaints Handling
- Role of the Depositary
- Mergers of Funds
- Eligible Assets
- Risk Management Process
- Master-Feeder Funds
- Transparency and Information for Investors
- Key Investor Information Document
- Fund Valuation
- Cross-border Marketing
- Powers of the Central Bank
- Other directives and regulations
- Enforcement

Who should attend:

- Fund Managers
- Trustees/Custodians
- Directors (both Non-Executive and Connected Party)
- Fund Administration Management
- Compliance Officers
- Lawyers
- Auditors
- Regulators

Implementing the Directive on Alternative Investment Fund Managers (AIFM Directive)

Course Dates:

Tuesday 21st May 2013, 9.15 am – 1.15 pm

Course Fee:

€380

(All training fees are VAT exempt)

Course Venue:

Compliance Ireland Training, 13 Adelaide Road, Dublin 2

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Summary:

This Directive governs the regulation of hedge funds, private equity funds and other nationally-authorised (non-UCITS) mutual funds. The Framework Directive has been published and came into force on 21st July 2011. The Directive will be implemented into Irish law by 22 July 2013, but the Level 2 Implementing Directive consultations are already starting and this is where the main impact on businesses will be determined.

Benefits:

This half day course aims to provide managers with an outline of the provisions of the Framework Directive and an insight into likely Level 2 implementing measures.

Course participants will gain knowledge on the following aspects of the Directive:

- Background to the Directive
- Overview of the Provisions
- Implementation Timescale
- Scope and Applicability to firms
- Authorisation Requirements
- Marketing and 3rd Country Provisions
- Depositaries
- Remuneration
- Operational Requirements
- Capital Requirements
- Valuation Function
- Transparency and Reporting
- Leverage
- Consultations

Who should attend:

This course is designed for firms in the areas of asset management, mutual funds, hedge funds, venture capital & private equity. The course is suitable for implementation project executives, management and directors.

Developments in MiFID 2

Course Dates:

Thursday 23rd May 2013, 10 am – 12 noon

Course Fee:

€220 per attendee

(All training fees are VAT exempt)

Course Venue:

Compliance Ireland Training, 13 Adelaide Road, Dublin 2

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Summary:

Although the Markets in Financial Instruments Directive has been highly successful since it was launched in 2007, it is now felt at European level that there is a need to update it.

First, market fragmentation has made the trading environment more complex, especially in terms of collection of trade data. Second, market and technological developments have outpaced various provisions in MiFID. The EU Commission sees the public interest in a transparent level playing-field between trading venues and investment firms as being undermined. Third, it is felt there are weaknesses in the regulation of instruments other than shares, traded mostly between professional investors. Finally, rapid innovation and growing complexity in financial instruments are prompting higher levels of investor protection measures.

The EU Commission is currently seeking to put forward compromise proposals in the form of the MiFID2 Directive and a new MiFIR Regulation which will have direct application without transposition into Irish law.

Course Contents:

Examining proposals in the MiFIR in relation to:

- the disclosure of trade transparency data to the public and transaction data to competent authorities,
- the authorisation and ongoing obligations applicable to providers of data services,
- the mandatory trading of derivatives on organised venues, and
- specific supervisory actions regarding financial instruments and positions in derivatives

Examining proposals in the MiFID2 Directive in relation to:

- Extension of MiFID rules to like products and services
- Revision of exemptions from MiFID
- Upgrades to the market structure framework
- Improvements to corporate governance
- Enhanced organisational requirements to safeguard the efficient functioning and integrity of markets
- Enhancement of the investor protection framework
- Heightened protections in the provision of investment services to non-retail clients
- New requirements for trading venues
- An improved regime for SME markets
- Third country regime
- Heightened powers over derivative-positions for competent authorities
- Amended sanctions powers
- Trading in Emission allowances

Understanding Funds in Ireland

Course Dates:

Wednesday 12th June 2013, 9.15 am – 1.15 pm

Course Fee:

€380

(All training fees are VAT exempt)

Course Venue:

Compliance Ireland Training, 13 Adelaide Road, Dublin 2

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Summary:

This half day course will examine the key frameworks governing the regulation of investment funds in Ireland. This course is designed for persons working in legal and accounting firms newly involved with investment funds. Participants will obtain an understanding of the legislative and regulatory environment for the various types of authorised and un-authorised funds existing in Ireland and the roles and responsibilities of the various parties and the regulatory framework in which they must operate.

Benefits:

By attending this course participants will gain an understanding of:

- Type of funds: Unit Trust, Variable Capital Company, Investment Limited Partnership, Common Contractual Fund
- National funds legislation: Unit Trusts Act 1990, Part XIII, Companies Act 1990 and others;
- Other types of investment vehicle: Unauthorised Trusts, Section 110 Companies;
- Pan-European legislation: The UCITS Regulations;
- Parties connected to the fund: Manager, Board, Administrator, Custodian;
- Other parties: Promoter, Distributor;
- Duties of the Manager;
- Duties of the Trustee/Custodian;
- Duties of the Administrator;
- Duties of the Fund's Board of Directors;
- Role of the Prime Broker;
- Role of the Central Bank;
- Role of the Irish Stock Exchange;
- Role of the Auditor;
- Central Bank's UCITS and NU Notices;
- Central Bank's Guidance Notes;
- European Developments: UCITS 4 and AIFM Directives.

This course examines the contractual structure of investment funds. It explains the roles of the various parties associated with the fund as well as how their respective obligations are set out and documented.

The role of the trustee is a central bulwark in the protection of investors' interests. The trustee is responsible for monitoring the performance of all the other parties involved with the fund. Aggrieved investors have become increasingly prepared to sue trustees (and other parties associated with funds) to recover losses incurred. It is more important than ever to be aware of the extent of imposed obligations and how to demonstrate that they are being properly carried out.

Payment Services Directive

Course Dates:

Wednesday 12th June 2013, 2.00 pm – 4.00 pm

Course Fee:

€220

(All training fees are VAT exempt)

Course Venue:

Compliance Ireland Training, 13 Adelaide Road, Dublin 2

CPD Points:

See our website for details of CPD accreditations. <http://www.complianceireland.com/training/public-training>

Course Overview:

The Payment Services Directive (PSD) provides the legal foundation for the creation of a single market for payments in the European Union. The PSD aims to establish a modern and comprehensive set of rules applicable to all payment services in the European Union and to provide the legislative framework for the Single Euro Payments Area (SEPA) initiative. The aim of SEPA being to enable payments in euros to move freely between users in the EU, wherever they are located.

The objective is to make cross-border payments as easy, efficient and as secure as 'national' payments within a Member State. The PSD also seeks to improve competition by opening up payment markets to new regulated entrants.

This course aims to outline the main requirements of the Payments Services Directive as transposed into Ireland by the Payment Services Regulations in 2009. It looks at the technical provisions as well as best practice for implementation of the requirement.

Course Content:

- Where do firms obligations come from
- High Level Obligations
- PSD Overview
- Obligations firms must consider
- Information firms must provide
- Transparency Obligations
- Liability Obligations
- Offences and Penalties

Course Outcome:

After completion of this course, participants will have an understanding of the technical requirements of the Payment Services Regulations. The course will also provide an understanding of how regulated firms should implement the Regulations and the obligations and duties that it puts on them.

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Compliance Ireland has been providing training and consulting services in Ireland since 2006 to senior management, directors and professional advisors of more than 400 Irish and UK financial services firms, regulators, law firms, universities and telecom businesses.

Our aim is to provide you with the most comprehensive and up-to-date training available in Ireland.

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- show you how to implement changes in your business to comply with new requirements;
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