

CySEC Examination Preparation Course | September 2015

Course Contents

Basic Certificate	Advanced Certificate
<p>Investment Services and Activities Regulated Markets Law:</p> <ul style="list-style-type: none"> • Scope and Application of the Cyprus Implementation of MiFID (Law144(I)/2007) <ul style="list-style-type: none"> • Cyprus Regulatory Structure • Responsibilities of CySEC <ul style="list-style-type: none"> • Offenses 	<p>Investment Services and Activities Regulated Markets Law:</p> <ul style="list-style-type: none"> • Scope and Application of the Cyprus Implementation of MiFID (Law144(I)/2007) <ul style="list-style-type: none"> • Cyprus Regulatory Structure • Responsibilities of CySEC <ul style="list-style-type: none"> • Offenses
<p>Cypriot Investment Firms (CIFs):</p> <ul style="list-style-type: none"> • Authorisation • Conduct of Business Obligations <ul style="list-style-type: none"> • Best Execution • General CIF Obligations • Market Transparency and Integrity • Capital Adequacy Requirements <ul style="list-style-type: none"> • Regulated Markets 	<p>Cypriot Investment Firms (CIFs):</p> <ul style="list-style-type: none"> • Authorisation • Conduct of Business Obligations <ul style="list-style-type: none"> • Best Execution • General CIF Obligations • Market Transparency and Integrity • Capital Adequacy Requirements <ul style="list-style-type: none"> • Regulated Markets
<p>Insider Dealing and Market Manipulation (Market Abuse) Law (2005):</p> <ul style="list-style-type: none"> • Inside Information • Provisions Relating to Issuers of Financial Instruments <ul style="list-style-type: none"> • Market Manipulation • Provisions in Relation to Persons who Professionally Arrange Transactions 	<p>Insider Dealing and Market Manipulation (Market Abuse) Law (2005):</p> <ul style="list-style-type: none"> • Inside Information • Provisions Relating to Issuers of Financial Instruments <ul style="list-style-type: none"> • Market Manipulation • Provisions in Relation to Persons who Professionally Arrange Transactions
<p>Open-Ended Undertakings for Collective Investment Law (2012):</p> <ul style="list-style-type: none"> • Undertakings for Collective Investment in Transferable Securities (UCITS) <ul style="list-style-type: none"> • Obligations of UCITS • UCITS Structures • Management Companies 	<p>Open-Ended Undertakings for Collective Investment Law (2012):</p> <ul style="list-style-type: none"> • Undertakings for Collective Investment in Transferable Securities (UCITS) <ul style="list-style-type: none"> • Obligations of UCITS • UCITS Structures • Management Companies
<p>The Alternative Investment Fund Managers Law (2013):</p> <ul style="list-style-type: none"> • General Requirements • Organizational Requirements 	<p>The Alternative Investment Fund Managers Law (2013):</p> <ul style="list-style-type: none"> • General Requirements • Organizational Requirements • Managing Specific Types of AIF

<p>The Prevention and Suppression of Money Laundering and Terrorist Financing Laws of 2007 and 2010:</p> <ul style="list-style-type: none"> • Special Provisions in Respect of Financial and Other Business Activities 	<p>The Prevention and Suppression of Money Laundering and Terrorist Financing Laws of 2007 and 2010:</p> <ul style="list-style-type: none"> • Special Provisions in Respect of Financial and Other Business Activities • Financial Organisations Responsibilities
<p>CIFs and Banks:</p> <ul style="list-style-type: none"> • Organisational Requirements <ul style="list-style-type: none"> • Specific Requirements <ul style="list-style-type: none"> • Conflicts of Interest • Conduct of Business Requirements • Investor Compensation Funds <ul style="list-style-type: none"> • European Union 	<p>CIFs and Banks:</p> <ul style="list-style-type: none"> • Organisational Requirements <ul style="list-style-type: none"> • Specific Requirements <ul style="list-style-type: none"> • Conflicts of Interest • Conduct of Business Requirements • Investor Compensation Funds
	<p>The Banking Laws of 1997 to 2013:</p> <ul style="list-style-type: none"> • General • Capital • Returns and Accounts
	<p>European Union:</p> <ul style="list-style-type: none"> • European Commission (EC) Regulations • European Securities and Markets Authority (ESMA)
	<p>Guidelines for Investment Firms:</p> <ul style="list-style-type: none"> • Professional Standards • Compliance Function • Systems and Controls in an Automated Trading Environment <ul style="list-style-type: none"> • Suitability Requirements
	<p>Applied Risk Management:</p> <ul style="list-style-type: none"> • Supervisory Review and Evaluation Process (SREP) • The Internal Capital Adequacy Assessment Process (ICAAP)

Schedule			
No.	Date	Time	Certificate
1	Tuesday 08/09/2015	18:30 – 21:30	Basic & Advanced
2	Wednesday 09/09/2015	18:30 – 21:30	Basic & Advanced
3	Thursday 10/09/2015	18:30 – 21:30	Basic & Advanced
4	Tuesday 15/09/2015	18:30 – 21:30	Basic & Advanced
5	Wednesday 16/09/2015	18:30 – 21:30	Basic & Advanced
6	Thursday 17/09/2015	18:30 – 21:30	Basic & Advanced
7	Tuesday 22/09/2015	18:30 – 21:30	Basic & Advanced
8	Wednesday 23/09/2015	18:30 – 21:30	Advanced
9	Thursday 24/09/2015	18:30 – 21:30	Advanced
10	Tuesday 29/09/2015	18:30 – 21:30	Advanced
11	Wednesday 30/09/2015	18:30 – 21:30	Advanced
13	Tuesday 06/10/2015	18:30 – 21:30	REVISION