

CIFs Regulatory Compliance Crash Course

Continuing Professional Development

Instructor:

Nicolas Demetriades

Aim:

Day-to-day life within the compliance function of a CIF, or a CIF in general, can get easier when both the compliance officer and senior management have a clear understanding on what needs to be done, when and how.

The aim of the seminar is to provide an easy to follow 'instructions manual' on how to efficiently perform some of the most important requirements of the compliance function.

Objectives:

1. Not to miss a regulatory deadline
2. Follow a sophisticated process to establish a risk-based compliance monitoring plan in order to effectively perform the ongoing compliance monitoring
3. Efficiently handle client complaints
4. Be able to prepare the annual compliance report to be submitted to CySEC

Who should attend the seminar?

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

23 May 2024
09:00 – 14:30 (5 CPD Units)

Registrations:
Fee: €180
Click [here](#) to register

SEMINAR PROGRAMME

23/05/2024			CIFs Regulatory Compliance Crash Course		
Time	Duration	Description			
9:00 – 10:30	1:30	Compliance Function & Compliance Calendar <ul style="list-style-type: none"> • Brief description of the compliance function • Compliance calendar 			
10:30 – 11:30	1:00	Compliance Monitoring Plan <ul style="list-style-type: none"> • Holistic process for the design of an efficient risk-based monitoring plan • Risk assessment & appetite • Priority setting • Execution of the plan 			
11:30 – 11:45	0:15	C o f f e e B r e a k			
11:45 – 12:45	1:00	Handling of Client Complaints <ul style="list-style-type: none"> • Provision of information to clients • Complaint handling process • Reporting to CySEC • Ongoing monitoring -root cause analysis 			
12:45 – 13:00	0:15	C o f f e e B r e a k			
13:00 – 14:30	1:30	Compliance Annual Report <ul style="list-style-type: none"> • Indicative table of contents • Brief description of the required content 			
Total Net Duration	5:00	END OF SEMINAR			