



Sharing our knowledge

Asset Management client training menu

Asset management is a complex subject touching on a range of different aspects including financial regulation, tax, HR and IT. To ensure your staff remain on top of the latest regulations and developments in each area, it is vital that they undergo regular training. This menu highlights the courses we can deliver on your behalf.

Funds and financial services regulation

- funds: back to basics
- global fund distribution after AIFMD
- ACSs
- PAIFs and other property funds
- Securities Financing Transactions Regulation (SFTR)
- Benchmarks Regulation
- Money Market Funds Regulation
- FCA's thematic review on investor expectations
- governance: requirements for asset managers
- approved persons and the liability of senior managers
- Senior Managers and Certification Regime for asset managers
- depositary, custodian, prime broking and counterparty relationships
- market conduct training (including MAR)
- client assets and client money
- liquidity management of funds
- trading strategies for asset managers
- EMIR for non-clearing members
- PRIIPs
- shadow banking and issues for buy-side lending
- Solvency II: impact on insurers as clients
- charity funds (CAIFs)
- MiFID II (1)
 - product governance
 - inducements
 - client categorisation
 - financial promotions
- MiFID II (2)
 - transaction reporting

- best execution
- market structure: OTFs and Dark pools
- MiFID II (3)
 - corporate governance and organisational requirements
 - CASS
 - investment research
 - conflicts of interest
 - voice recording

Financial risk, regulation and enforcement

- dealing with skilled persons reviews for the in-house lawyer/compliance officer
- round-up of investment manager's liability and enforcement trends
- liability risk mitigation
- financial crime compliance: AML, anti-bribery, anti-fraud and data security
- conducting investigations

Contract drafting and negotiation

- investment management agreements
- platform and distribution agreements
- ISDA master agreements
- repurchase agreements
- stocklending agreements
- liability and indemnities
- unfair terms and the Consumer Rights Act 2010
- Bribery Act issues relating to a private bank or asset manager's key contracts
- ISA terms and conditions

Mergers and Acquisitions

- sell-side project prep: getting your house in order
- buy-side project prep: inception to integration
- regulatory approvals and due diligence

Tax

- authorised funds tax update
- unauthorised funds tax update
- real estate funds update
- training on specific fund structures from a tax perspective, including ACSs, debt funds, hedge funds, infrastructure funds, investment trust companies, PAIFs, private equity funds, REITs and residential funds
- accessing the retail market
- FATCA/CRS/DAC
- VAT update

Competition

- competition regulation for asset managers
- FCA asset management competition reviews

HR issues

- whistleblowing
- restrictive covenants
- regulatory investigations
- remuneration
- TUPE/outsourcing
- social media

Outsourcing and IT

- middle-office outsourcing deals: latest developments
- preparing for outsourcing and major IT deals
- FCA's Outsourcing in the Asset Management Industry: Thematic Project Findings Report
- the FCA approach to cloud solutions

Data protection

- obtaining employees' information and emails lawfully
- data protection: latest developments, including the new EU data protection framework
- data protection in cross border investigations

Financial services consulting

- role-based training
- skills-based training
- regulatory knowledge

FinTech

- artificial intelligence
- blockchain / distributed ledger technology
- digital and automated advice solutions
- smart contracts
- cryptocurrencies
- regulatory sandboxes
- crowdfunding
- overview of FinTech in the UK

Brexit

- UK firms: doing business in the EU after Brexit
- EU firms: doing business in the UK after Brexit

For more information, please contact:



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