

# **INTERVISION** – TRADE COMPLIANCE & SURVEILLANCE

## **CONTINUOUS PROFESSIONAL DEVELOPMENT VIA LIVE SESSIONS + CHAT**

Members of this service can attend interactive weekly sessions, while having ongoing access to the members-only community (chat room). In both cases your questions are answered and your cases are handled (if desirable, anonymously). In addition, cross-learn from the input by others in the portal. This service supplements or can be used instead of our self-study solutions.

**Enhancing performance** – *Cross-learn & network*  
 This service allows you to learn from the responses you get, but also from the answers to questions raised by others. Meet your colleagues on this platform, as well as your peers working for other employers.

**Who ?**  
 It concerns sessions, for members-only, open to everyone with a licence. Suitable for commodity & energy traders, risk managers, auditors, data specialists, compliance officers & surveillance experts.

**When ?**  
 Weekly, on Monday 11:00-12:00 (CET).

**What ?**  
 Consult the Mentor to improve your understanding of work-related aspects, to cope with sudden challenges that you encounter at work, to handle cases arising at work, the interpretation of circumstances and to master practical application; thus, to develop skills.

**Where & how ?**  
 Live mentoring, via online portal, held under Chatham House rules, plus app, including members-only chatroom.

**Learning organisations**  
 Learning is not the goal itself, but the tool to achieve one's targets.

**Your industry community**  
 Meet your peers and cross-learn. Chat during the week in the group, or consult our Mentor, while information, documentation & other materials are shared.

This service supports continuous professional development (CPD). Address the challenges you encounter at work every single week, or even ongoing, bringing you a real-time training-on-the-job. Our expert constantly provides assistance.

## **ADDED VALUE PRACTICAL APPLICATION**

**BLEND-LEARNING COST-EFFECTIVE & TIME-EFFICIENT**

Self-study requires discipline and self-control. Instead, some professionals rather appreciate guidance, via expert mentoring. Our blended-learning approach combines our (self-study) learning platform (learning at your own pace and in your own time, based on your own preferences) and being able to raise questions and addressing practical cases. Being mentored allows for practical application and optimises competences. After all, at work you face daily practices, with actual processes and activities. Hence, your tasks cannot be performed on the basis of theory.

**COMMUNITY MEET YOUR PEERS**

The Mentor shares knowledge, in the live sessions & in the chatroom. Exchange thoughts with, and learn from, your peers in the commodity & energy markets.

**SELECT YOUR TOPICS THEMES IN SCOPE**

The Mentor will address your questions/cases in the following fields (every week you can select whatever you want to discuss/have discussed):

- Inside information: Qualification, publication, corporate actions
- Inside trading: Front running
- Market manipulation: Schemes, interpretation, context
- Price formation: Order book, liquidity, volatility, settlement prices
- Algorithmic trading: Governance, testing, manipulative schemes
- Authorities: Tasks, communication, relationship
- Data reporting: Data quality, formats/templates
- Product specifics: Futures, options & swaps
- Trade surveillance: Systems, calibration, alert management
- Case handling: Strategy, logging
- Compliance: Effectiveness, corporate culture
- Sanctions: Jurisprudence, administrative & criminal sanctions

**ENTRIMA FOR PROFESSIONALS**

**LIVE-TUTORING KNOWLEDGE SHARING** (SEASON: 2023)

Each weekly meeting starts with a 15-minute lecture on a dedicated topic. This may be considered stand-alone, or used as kick-start for discussion and Q&A. Otherwise, you raise questions in any other indicated field, across all weeks.

2 Jan:	Inside information	3 Jul:	Market manipulation
9 Jan:	Publication of inside info	10 Jul:	Layering
16 Jan:	EU regulation – REMIT	17 Jul:	Suspicious activity
23 Jan:	EU regulation – MAR	24 Jul:	Market abuse with options
30 Jan:	Sanctioning	31 Aug:	Spot vs. forward markets
6 Feb:	Spoofing	7 Aug:	Inside info – Gas
13 Feb:	– (no session)	14 Aug:	Withholding capacity
20 Feb:	– (no session)	21 Aug:	Pump & dump
27 Feb:	US regulations – CEA & DFA	28 Aug:	Dissemination of false info
6 Mar:	US regulations – EPA & EISA	4 Sep:	Disseminate misleading info
13 Mar:	Case handling	11 Sep:	Algorithmic trading
20 Mar:	Whistleblowing	18 Sep:	Quote stuffing
27 Mar:	Marking	25 Sep:	Momentum ignition
3 Apr:	Data reporting	2 Oct:	Wash trades
10 Apr:	Criteria of inside information	9 Oct:	Front running
17 Apr:	Circular trading	16 Oct:	Brokers and abuse
24 Apr:	Inside info – Electricity	23 Oct:	System operators and abuse
1 May:	Cross-market manipulation	30 Oct:	Financial crime
8 May:	Effective compliance regimes	6 Nov:	Non-genuine orders
15 May:	Market abuse with swaps	13 Nov:	Parking
22 May:	Money passes & compensation	20 Nov:	Ethical blindness & culture
29 May:	– (no session)	27 Nov:	Managing complexity
5 Jun:	Roles of brokers & exchanges	4 Dec:	Fair & orderly trading
12 Jun:	Pre-arranged trading	11 Dec:	Benchmark trading
19 Jun:	Cross-trades	18 Dec:	Indicators of manipulation
26 Jun:	Effective trade surveillance	25 Dec:	– (no session)

**ENTRIMA FOR PROFESSIONALS**