

TOPIC-SPECIFIC LEARNING JOURNEY

COURSE PACKAGE:
"TRADE COMPLIANCE"

ENTRIMA
LEARNING PLATFORM

ENTRIMA's Learning Platform lists a wide range of courses, all related to markets & trading. Some of these courses have been bundled to form a course package, as they all concerns the same field of expertise.

The Course Package "**Trade compliance**" consists of the following courses:

	page
1. Trade compliance – The basics	3
2. Trade compliance – Algorithmic trading compliance	4
3. Employee personal trading	5

Each of these courses ends with an exam. Upon passing the exam the learner will be certified instantly. The contents, duration and level of each course is set out in the pages hereafter.

Duration

Total duration^{*)} of all three (3) courses together: **90** minutes

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|-----------------------|----------|
| ➤ Study hours: | 2 |
| ➤ CPD points: | 2 |

^{*)} Excluding examination

COURSE: **TRADE COMPLIANCE – THE BASICS**

This course deals with the role of the compliance function. It is set out what one can expect of the compliance officer. Attention is given to how the firm and its employees are shielded by the compliance function.

This course includes the following video lessons:

1. A control function
2. Tasks
3. Primary point of contact
4. Compliance framework
5. Compliance regime
6. Incident logging
7. Code of conduct
8. Rules of engagement
9. Obligations & prohibitions
10. Culture – Trust & confidence
11. Culture - Misunderstood

- A. Examination
- B. Certification

❖ Level:	Basic	No prerequisites
❖ Intensity:	30 minutes	Excluding examination
❖ Language:	Voice & text	English
❖ Including:	Examination	Certification upon passing

COURSE:**TRADE COMPLIANCE – ALGORITHMIC TRADING COMPLIANCE**

This course is about the rules and regulations that have to be complied with when performing algorithmic trading. It also sets out what abusive practices could take place but must be prevented and detected.

This course includes the following video lessons:

1. Main concerns
2. Formal accusation
3. Execution & responsibility
4. Quote stuffing
5. Momentum ignition
6. Ticker tape trading
7. Flash crash
8. The Sarao case
9. Compliancy regime
10. Systems & control
11. Pre-trade controls
12. Testing
13. Direct electronic access
14. Market making
15. Systemic risk management – By trading venue
16. Systemic risk management – By algo trader
17. Automated surveillance system
18. Contact with regulator
19. Governance – The governance framework
20. Governance – The management body
21. Governance – Algo trading policy

- A. Examination
- B. Certification

❖ Level:	Basic	No prerequisites
❖ Intensity:	40 minutes	Excluding examination
❖ Language:	Voice & text	English
❖ Including:	Examination	Certification upon passing

COURSE: EMPLOYEE PERSONAL TRADING

This course is about the handling of the personal investments and trading of a company's employees, especially those with access to inside information and those with market access, as these face the highest risk of being exposed to conflicts of interest.

This course includes the following video lessons:

1. Introduction
 2. Not prohibited
 3. Legislation
 4. Compliance risks relating to personal trading – Conflict of interest
 5. Compliance risks relating to personal trading – Front running
 6. Compliance risks relating to personal trading – Insider dealing
 7. Compliance risks relating to personal trading – Failing to detect suspicious activity
 8. Compliance risks relating to personal trading – Reputational harm
 9. Compliance risks relating to personal trading – Persons discharging managerial responsibilities
 10. Mitigation of compliance risks – Develop employee personal trading policy
 11. Mitigation of compliance risks – Pre-approval before transacting
 12. Mitigation of compliance risks – Post-trade rules
 13. Mitigation of compliance risks – Monitoring
- A. Examination
B. Certification

❖ Level:	Basic	No prerequisites
❖ Intensity:	20 minutes	Excluding examination
❖ Language:	Voice & text	English
❖ Including:	Examination	Certification upon passing