

TOPIC-SPECIFIC LEARNING JOURNEY

COURSE PACKAGE: “TRADE SURVEILLANCE”

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 concern the same field of expertise.

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

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1. Surveillance – Financial crime – A holistic approach	3
2. Trade surveillance – The basics	4
3. Trade surveillance – Systems	5
4. Trade surveillance – Option markets	6
5. Trade surveillance – Indicators of manipulative behaviour	7

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 five (5) courses together: **160** minutes

➤ Study hours:	3
➤ CPD points:	3

^{*)} Excluding examination

COURSE:**SURVEILLANCE – FINANCIAL CRIME – A HOLISTIC APPROACH**

This course is dedicated to surveillance in the field of financial crime. It covers how surveillance can be organised and what is relevant when trying to prevent and detect money laundering, terrorist financing, bribery, tax fraud, scams and market abuse. Main focus is on systems.

This course includes the following video lessons:

1. Complete risk overview
2. Integrated solution
3. Architecture
4. Functional components
5. Context
6. Detection techniques
7. Investigation tools
8. Reporting – Information & records

A. Examination

B. Certification

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

COURSE: TRADE SURVEILLANCE – THE BASICS

This course concerns the fundamentals of trade surveillance. It is explained how markets can be monitored and what aspects are of relevance. This course shows how to assure effectiveness.

This course includes the following video lessons:

1. Introduction
2. Avoid violations
3. Risk identification – Assessment & control
4. Criterion – Effective
5. Criterion – Appropriate
6. Criterion – Proportionate
7. Scope
8. Case handling – Incident management & reporting
9. Investigation & reporting
10. Case building
11. Discretion
12. Effective market monitoring – Procedures
13. Effective market monitoring – People
14. Effective market monitoring – Systems
15. Effective market monitoring – Methods – Introduction
16. Effective market monitoring – Methods – Statistical reviews
17. Effective market monitoring – Methods – Combining types of trading
18. Effective market monitoring – Methods – Monitoring financial performance
19. Effective market monitoring – Methods – Periodic reviews
20. Effective market monitoring – Methods – Ad hoc analysis
21. Effective market monitoring – Methods – Storage of communication data
22. Effective market monitoring – Methods – Optimise culture
23. Effective market monitoring – Methods – Whistleblowing

- A. Examination
- B. Certification

❖ Level:	Basic	No prerequisites
❖ Intensity:	35 minutes	Excluding examination
❖ Language:	Voice & text	English
❖ Including:	Examination	Certification upon passing

COURSE: TRADE SURVEILLANCE – SYSTEMS

This course covers surveillance systems, as supportive tool to perform market monitoring. Various aspects are of relevance are set out, including data collection, processing, usability and management, as well as case handling.

This course includes the following video lessons:

1. Introduction
 2. Software solution
 3. Approaches to surveillance
 4. Data collection & entry
 5. Indicators
 6. Data analysis – Processes
 7. Data analysis – Types of data
 8. Data management
 9. Selection
 10. Insider trading & market manipulation
 11. Taks
 12. Selection criteria
 13. Regulatory scope
 14. Complexity
 15. Calibration
 16. Interpretation of alerts
 17. Communication software
- A. Examination
B. Certification

❖ Level:	Basic	No prerequisites
❖ Intensity:	35 minutes	Excluding examination
❖ Language:	Voice & text	English
❖ Including:	Examination	Certification upon passing

COURSE: TRADE SURVEILLANCE – OPTION MARKETS

This course covers points of attention to the prevention and detection of market manipulation in option markets. It is explained how abuse could take place and what measures could be taken to avoid such from happening.

This course includes the following video lessons:

1. Introduction
2. Option pricing – Introduction
3. Option pricing – Moneyness
4. Option pricing – Exercise style
5. Orders or transaction-related schemes
6. Derivative of derivative
7. Cross-market manipulation
8. Squeezing & cornering
9. Blowing up open interest
10. Freezing & ramping
11. Marking
12. Hidden orders & Triggers
13. Path-dependency
14. Path-dependency – Protection
15. Path-dependency – Avoidance
16. Indicators of market manipulation

- A. Examination
- B. Certification

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

COURSE:**TRADE SURVEILLANCE – INDICATORS OF MANIPULATIVE BEHAVIOUR**

This course talks about indicators to detect market manipulation. It is set out what aspects should be given attention to tackle abuse. In addition, specific abusive practices are related to those indicators.

This course includes the following video lessons:

1. Introduction
2. Proportion of daily volume
3. Significant price change
4. No change in beneficial ownership
5. Position reversals in a short period
6. Concentration of activity & reverting price
7. Tightening bid-ask spread
8. Reference prices & pricing windows
9. Orders – Submission, amendment & cancellation
10. False or misleading information
11. Investment recommendations
12. More indicators
13. Models to analyse data
14. Ping orders
15. Pishing
16. Creating a floor or ceiling
17. Buying in the secondary market
18. Concealing ownership
19. Excessive bid-ask spread
20. Advancing the bid
21. Smoking

- A. Examination
- B. Certification

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