

IMS Consulting launches 'Introduction to Compliance' training course

IMS Consulting is launching a training course that targets the regulatory and compliance awareness needs of staff at **wholesale asset management** and **securities firms**.

This concise, **½-day course** focuses on those areas of regulation and compliance that are of greatest relevance to staff, as they conduct their roles and responsibilities. This is a departure from many 'traditional' training courses which provide a generic overview based on a syllabus. Our course does not require the individual to sit an examination at a later date, nor does it require the individual to study for regulatory aspects that are of little or no importance.

The course is delivered at our office premises by IMS' experienced compliance consultants. The class sizes are small (**maximum of 12**) so that each **course can be tailored to the specific circumstances of the attendees**, and also to encourage a more 'interactive' and dynamic relationship between the attendees and the trainer(s).

Furthermore, **each session focuses on a specific business type (e.g. hedge funds or private equity)**; and so the classes are also a good opportunity to meet other industry players in the sector.

The training comprises a presentation followed by an optional written examination that features multiple choice questions and case studies. This examination is designed to galvanise the attendee's appreciation of the regulatory issues covered in the presentation, as opposed to merely being an exercise in rote learning regulatory 'facts'.

The following individuals and firms may find the course attractive:

- **executives and non-executives, front office, middle office (including compliance) and back office staff and administrative/support personnel** requiring an overview of their regulatory obligations (or those of their staff, as applicable);
- individuals that are new to the UK regulatory environment;
- individuals requiring 'refresher' training; and
- firms seeking to assess the regulatory competency of their staff, which can be benchmarked using the examination. Note that although the examination requirement for certain roles at wholesale firms (such as portfolio manager and investment adviser) is no longer mandatory, the FSA's expectation is that individuals fulfilling these roles undergo regulatory training. Firms should also consider whether staff performing other roles within the organisation should receive this training in order to be assessed as 'competent'.

The regular course takes place at IMS' office premises in the West End of London. However for larger groups, upon request, we can also administer the training at an external location.

The 'Introduction to Compliance' course is part of a wider suite of training products. These cover topics such as market abuse, anti-money laundering, financial promotions and the Markets in Financial Instruments Directive, and are delivered face-to-face or via an e-learning package.

For further information, please contact Matthew Raver (mr@imsconsulting.co.uk), Louise Yates (lpy@imsconsulting.co.uk) or your usual IMS contact on +44 (0)20 7408 2448.

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