



Education and Training

IMS Education and Training is focused on providing training solutions to the wholesale investment management and securities market. IMS has provided training to clients since it was founded in 1997 and since 2008 alone we have trained over 1,500 individuals, ranging from support staff to senior directors, at both courses housed at IMS offices or on-site at firms' own offices.

Training tailored specifically for your firm

All of our courses are designed to be delivered onsite with clients for numbers as small as 6 to as large as 100 (spread over a number of different sessions). This onsite offering enables us to prepare a highly tailored course for your employees, which can cover a number of different subjects strictly relevant to your firm and how you operate. Our core training products include the following:

- Anti-money Laundering with optional examination
- Compliance Induction for Wholesale or Private Equity firms with an optional exam
- Market Abuse
- Senior Management Obligations and Effective Corporate Governance
- Capital Adequacy and Regulatory Reporting for Limited License Brokers and Investment Managers
- Anti-Bribery Procedures

IMS consultants will work with you to construct the most appropriate course, delivered in the most convenient format for your staff. All our training is delivered by experienced consultants and directors who will use their extensive knowledge and experience of the wholesale regulatory environment to deliver an interactive and engaging session.

Courses run at IMS offices

All our open courses are delivered at our offices in St James by experienced IMS compliance professionals. Delegate numbers are restricted to fifteen to ensure an interactive and dynamic relationship session.

Compliance Induction for Wholesale or Private Equity Firms

This is a one day training course that focuses on areas of regulation and compliance that are of the greatest relevance to staff as they conduct their roles and responsibilities. Each of IMS's courses are tailored to reflect the roles and responsibilities of the attendees. Both these course can be used to demonstrate 'competence' of regulatory knowledge in accordance with the FSA's rules and regulations. Topics covered include:

- The UK Regulatory environment
- High level and business standards
- Personal obligations
- Conduct of business rules - clients/investment process
- Telephone recording and retention of electronic communications
- Financial crime
- Regulatory reporting and record keeping
- Short-selling controls
- CFD disclosure

Cost: £500 + VAT per delegate without exam/ £650 + VAT per delegate including exam

Time: 9:00am - 4:00pm (breakfast and lunch are provided)

Senior Management Obligations and Effective Corporate Governance breakfast session

This training solution supplements firms' internal training arrangements by ensuring that all current and new Significant Influence Functions (SIFs) are aware of their enhanced personal obligations and applicable regulatory requirements generally, both as individual SIFs and collectively as part of the authorised firm's governing body.



Topics covered include:

- Regulatory context
- Fit and Proper Test 'FIT'
- Senior Management Arrangements, Systems and Controls ("SYSC")
- Approved Persons' Regime ("APER")
- Principles for business

Cost: £375 **Time:** 08:00am - 9:30am (breakfast is provided)

Anti-money Laundering breakfast and lunchtime sessions

Financial services firms are subject to a requirement in the FSA Rules and also at law, to ensure staff are provided with regular appropriate training in relation to Money Laundering risk and preventative measures. This requires the establishment of a programme by which training is provided at suitably regular intervals and also ensuring all new joiners receive relevant and appropriate training within a short time of the commencement of their employment. The anti-money laundering training course helps firms to fulfill these obligations. It provides staff with an understanding of the AML legal and regulatory framework as it relates to the asset management sector and the ensuing corporate and individual obligations.

Cost: £200 + VAT per delegate **Time:** 9:00am - 10:30am or 1:00pm - 2:30pm (breakfast or lunch provided)

Market Abuse breakfast and lunchtime sessions

This course will enable staff to identify, mitigate and manage market abuse risk. It will ensure a good understanding of the type of conduct prohibited under the market abuse regime. We always aim to put into context the relevant requirements of the firm's compliance infrastructure and the steps to be taken to comply.

Cost: £200 + VAT per delegate **Time:** 9:00am - 10:30am or 1:00pm - 2:30pm (breakfast or lunch provided)

Anti-Bribery Procedures breakfast session

This course provides a solid background to the UK's statutory requirements, offences and defences in relation to bribery and how they dovetail with existing regulatory obligations dealing with the associated areas of financial crime, inducements and conflict of interest management. At the end of this course you will be able to identify how existing and (when necessary) enhanced procedures currently addressing existing regulatory obligations can manage and mitigate such bribery risks that your firm might face. You will also be able to describe the implications of the criminal offences in the Act and determine their practical impact within your business.

Cost: £200 **Time:** 08:00am - 9:30am (breakfast is provided)

Capital Adequacy and Regulatory Reporting for Limited Licence Brokers and Investment Managers - The Returns

This course provides an invaluable insight into the requirements of FSA regulatory reporting and senior management responsibilities when preparing, reviewing and approving regulatory returns to avoid getting it wrong. It will cover the prudential capital requirements relevant to Limited Licence firms and provide hands-on practical examples of completing capital adequacy, balance sheet, profit and loss and large exposure regulatory returns. This course is aimed specifically at finance professionals, but compliance officers and senior management are welcome as appropriate. Topics covered include:

- Integrated regulatory reporting
- Capital adequacy
- Liquidity or non-ILAS firms
- ICAAP
- Balance sheet and income statements
- Large exposures
- FSA 055
- Non-financial returns

Cost: £799 + VAT **Time:** 09:00am - 2:00pm (lunch provided)

If you would like to discuss any of your training needs, please call Peter Moore (peter.moore@theimgroup.co.uk)