



A guide to **regulation**

The financial world is full of laws and regulations and in many positions you will be faced with them. However, not everyone is legally trained. How do you find your way and understand how the different regulations are connected? Where do regulations come from and what is the status of, for example, a guideline and a directive? In this training we familiarize you with supervisory legislation for financial services: regulations, directives and other legal acts such as guidelines.

Target audience

The training is developed for employees of financial institutions who are involved in the implementation of regulations in their day-to-day practice.

Objective

Upon completion of this training you will be able to:

- Outline the legislative process in financial services in the EU and in the Netherlands;
- Distinguish between regulations, directives and other legal acts within financial supervision legislation;
- Describe the different policy statements of the relevant supervisors;
- Describe the role and powers of financial supervisors in the EU;
- Describe in outline the main regulations affecting financial institutions in the EU;
- Estimate impact and frequency of legislative changes;
- Using concrete examples:
 - Interpret the text of regulations and explain what is meant by them;
 - Explain how a new rule relates to pre-existing regulations;
 - Read through a piece of legislation in a structured manner;
 - Assess when you have followed enough references in the text to have a good idea of the impact of the new rules;
 - Determine what information is relevant to make sense of the purpose and spirit of the rules, such as Explanatory Memorandum and regulator Q&As;
 - Explain key terms.



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Structure

This training starts with preparatory self-study in our online learning environment. Here, you get to know the legal landscape of financial institutions. This is followed by an in-class session in which you will work on a number of cases, guided by a compliance specialist from Charco & Dique.

Preparatory self-study

- Legislative Process
- Supervisory landscape
- Regulation

In-class training

- Working on specific cases

Study duration

The preliminary study takes about four hours and the in-class session one day.

Costs

The costs per participant are €395,-



More information

On our website you can find more information about starting dates and the content of '**A guide to regulation**'.

If you have any questions, please **contact** our learning specialists.

Register →