



## Compliance for the Securities Industry - Day

This course provides a thorough examination of the regulatory bodies and regulations under which the securities industry operates in the United States. The structure and function of the legal and compliance department of a broker-dealer is examined in light of this overall regulatory environment.

### Available Session(s):

20-Nov-2008 -- 21-Nov-2008 New York USD \$2375  
NY Institute of Finance - 9:00am - 4:30pm Thu Fri  
Downtown  
Instructor(s):[William Jannace; ]

### Targeted Audience

Compliance staff, branch office managers, attorneys, auditors and exchange personnel will benefit from this program.

### Special Offer

Clients who register for this course will receive a complimentary 6 month subscription to the Financial Times and FT.com. The Financial Times is the world's most respected financial newspaper providing a broad assessment on finance, business and the industrial sector. Subscriptions will start within 6-8 weeks of the application process, and are limited to one per client. For questions about your subscriptions call 800-628-8088 or email [uscirculation@ft.com](mailto:uscirculation@ft.com). US and Canada enrollees only.

### Advance Preparation

No advance preparation required.

### Prerequisites

None

### Learning Objectives

Students will be able to:

- Demonstrate a practical understanding of the following:
- Regulations of securities markets, SROs
- Broker/Dealer Guidelines
- Knowledge of Capital Markets
- Sales Practice/Supervision
- Supervision (Federal and SRO schemes)
- Compliance

## **Follow-Up Courses**

Brokerage Operations - Evening

**Level:** Intermediate

**CPE Credits:** 14.0

**Instructional Method:** Group-Live

## **Detailed Outline**

### **Day 1: Securities Regulators - Structure of Markets**

#### **Regulatory Structure**

- Broker-Dealer Regulatory Structure
- SRO Rulemaking
- Broker-Dealer Structure

#### **Broker-Dealer Regulation**

- Net Capital
- Customer Protection
- Licensing
- Supervision
- Margin/Credit Rules
- Regulation SHO

#### **Capital Markets Compliance**

- Underwriting
- Regulation M
- Rule of NASD
- After-market Activities
- Conflicts of Interest

### **Day 2: Securities Regulators - Structure of Markets**

#### **Sales Practice/Supervision**

- Suitability
- Churning
- Options Fraud

#### **Supervision**

- Federal Scheme
- SRO Scheme

#### **Compliance**

- Written Supervisory Procedures
- Internal Controls
- CEO Certification/CCO Designation

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