SC02: Securities and Compliance Certification

iCAS
International Compliance and
ANTI MONEY LAUNDERING SOCIETY UK

SC2 Overview:

SC02 focused on the creation of new Broker/Dealers, Registered Investment Advisers, and ongoing compliance consulting and training. Risk based approach and utilization of automated compliance technologies. The approach is unique in that utilize proprietary software, to meet the requirements of the compliance program while significantly reducing the administrative time and resources. By applying automated supervision software and document management tools, appropriate checks and balances will effectively reduce your risk and increase performance. There is a way to creative blend compliance and technology to create the ideal compliance culture.

COURSE TOPICS:

- The Law of Securities Regulation
- Introduction to the Federal Securities Laws
- Introduction to Securities Arbitration
- Introduction to the Initial Public Offering Process
- Introduction to Insider Trading – insider trading
- Corporate Law and Finance
- Broker Legal Information
- Investor Legal Information
- Simplify IT Compliance and Regulatory Audit with Event Log
- Securities and Compliance Audit Reports

ACCREDITATION

iCAS
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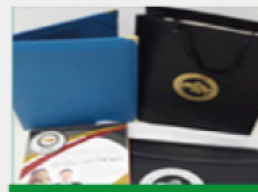
COURSE MATERIAL   COURSE STATIONARY   PARKING