

# MIFID UPDATE - THE EXPERIENCE OF 2009 AND THE CHALLENGES FOR 2010

Thursday 18<sup>th</sup> February 2010

## **Speakers:**

Martin Moloney,  
Head of Markets Supervision, Financial Regulator

Kevin O'Doherty  
Director, **Compliance Ireland**

Peter Oakes  
Director, **Compliance Ireland**

**Date & Time:** Thursday 18<sup>th</sup> February 2010 - 8.00a.m. to 09.30a.m

**Venue:** Clarion Hotel, North Wall Quay, IFSC, Dublin 1

(<http://www.choicehotels.ie/hotels/clarion/hotel?hotel=IE051> - map on this site)

## **Topics:** (including)

- \* Transaction Reporting requirements and experiences in 2009;
- \* Recent CESR developments;
- \* The scope of the current MiFID requirements;
- \* Examples of what the Financial Regulator looked for at firms in 2009 and what is likely to be asked for in 2010;
- \* Liquidity and bad debt concerns;
- \* Interaction with client asset requirements;
- \* CRD reporting experiences;
- \* ICAAP process;
- \* Firm complexity determinations;
- \* Outsourced services;
- \* Internal controls & fraud;
- \* Keeping business plans, operational/compliance/risk & internal audit procedures up-to-date;
- \* Risk management;
- \* New Anti Money Laundering legislation, and
- \* Enforcement and administrative sanctions regime.

**Cost:** €40 per attendee (no VAT)

**CPD:** up to 1.5 hours formal and informal CPD hours\*\*.

CPD by Institute of Bankers in Ireland as follows:

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QFA - 1.5 hours;

CPD Member (including Registered Stockbroker) - 1.5 hours;

CPD Members of LIA - 1.5 hours;

LCOI - 1.5 hours;

Chartered Banker/Certified Banker (CeB) - 1.5 hours.

See <http://www.complianceireland.com/publictraining.html#CPDhours>

**Bookings:** Go to <http://www.complianceireland.com/MiFIDseminar2010.html> to make and pay for your booking. If you to experience a problem, please contact Carol or Lisa on +353 1 425 5962 or email [trainadmin@complianceireland.com](mailto:trainadmin@complianceireland.com)

\*\* CPD award is subject to your professional body's policy

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**Here are quotes from past attendees:**

- *"The way in which the material was presented was stimulating." and "... managed to make what is quite a technical subject very interesting"* (Dublin Solicitors – AML attendees)
- *"... worth attending for the number of absolutely crucial points driven home well."* (Fund Administrator – AML attendee)
- *"Really clarified what areas of risk I should be concerned with."* (Financial Institution - Compliance Risk Monitoring attendee)
- *"Excellent course – will definitely use Compliance Ireland in the future"* (Bank & Investment Firm - Compliance Officer attendee)
- *"Course material excellent- very informative & relevant as always"* (Insurance Company – Compliance Statement attendee)
- *"A very well presented course. A complex area that was approached logically. Obviously presenter knew the area extremely well and did not have to hide behind jargon or legislation. His ability to debate the issues was good also. The course was brought to life with real life examples."* ((Irish) Financial Regulator - AML attendee)

Read more testimonials at <http://www.complianceireland.com/Testimonials.html>

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