

Deloitte.



DLearn

Our new MiFID II
Digital Training



Our MiFID II Standard Digital Curriculum

Including ESG requirements

AVAILABLE NOW



5 hours

In this course, you will go through the **order sales, client intake and reporting process** Financial Institutions need to follow to comply with the MiFID II regulation. You will be guided by Lucy, Nina and other types of clients looking to invest. Then, you will learn about the **key principles of the regulation** as you follow Tyler, a young banker seeking for advice from his more experienced brother. As the influence of MiFID II is pervasive in the day-to-day work of Financial Institutions, and to help you master the different **elements of compliance** & the **latest sustainability requirements**, additional scenarios will be covered (e.g. television report on investment research, implications for hiring an investment manager, training on sustainable finance and ESG requirements, etc.)

1. Introduction



- Context & objectives
- Setting the scene
- Context and background
- Why MIFID II?
- Key principles of the regulation

2. Focus on client protection



- Onboarding a client
- Product documentation & governance
- Getting ready for transactions
- During the trade
- Post-trade
- Investment research

3. Compliance and other requirements



- Client order handling
- Compliance & complaints handling
- Conflicts of interest & record-keeping
- Personal transactions
- Management body
- Rules related to sustainability (incl. ESG)

4. Knowledge check



- Randomized selection from a pool of questions. The participants will receive an individual certificate once the knowledge check is validated.



Deloitte refers to one or more of Deloitte Touche Tohmatsu Limited (“DTTL”), its global network of member firms, and their related entities (collectively, the “Deloitte organization”). DTTL (also referred to as “Deloitte Global”) and each of its member firms and related entities are legally separate and independent entities, which cannot obligate or bind each other in respect of third parties. DTTL and each DTTL member firm and related entity is liable only for its own acts and omissions, and not those of each other. DTTL does not provide services to clients. Please see www.deloitte.com/about to learn more.

Deloitte provides industry-leading audit and assurance, tax and legal, consulting, financial advisory, and risk advisory services to nearly 90% of the Fortune Global 500® and thousands of private companies. Our professionals deliver measurable and lasting results that help reinforce public trust in capital markets, enable clients to transform and thrive, and lead the way toward a stronger economy, a more equitable society and a sustainable world. Building on its 175-plus year history, Deloitte spans more than 150 countries and territories. Learn how Deloitte’s approximately 415,000 people worldwide make an impact that matters at www.deloitte.com.

This communication contains general information only, and none of Deloitte Touche Tohmatsu Limited (“DTTL”), its global network of member firms or their related entities (collectively, the “Deloitte organization”) is, by means of this communication, rendering professional advice or services. Before making any decision or taking any action that may affect your finances or your business, you should consult a qualified professional adviser.

No representations, warranties or undertakings (express or implied) are given as to the accuracy or completeness of the information in this communication, and none of DTTL, its member firms, related entities, employees or agents shall be liable or responsible for any loss or damage whatsoever arising directly or indirectly in connection with any person relying on this communication. DTTL and each of its member firms, and their related entities, are legally separate and independent entities.