

Our MiFID II Standard Digital Curriculum



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 and 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** and 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.