

المعهد العربي للمحاسبين والقانونيين

ARAB INSTITUTE FOR ACCOUNTANTS & LEGAL



SC02: Securities and Compliance Certification



High Authority Council
for Arab Bankers



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

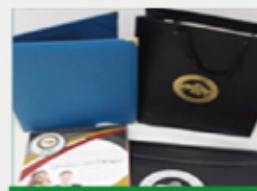
- International Financial Institution Society - IFIS USA
- Knowledge of Human Development Authority - KHDA UAE

MEMBERSHIP

- High Authority Council for Arab Bankers HACAB



COURSE MATERIAL



COURSE STATIONARY



PARKING

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