



## STURGEON ACADEMY - TRAINING

Sturgeon Academy is focused on providing training solutions to the wholesale financial services market (including regulators) and has been training clients since its inception in 1998.

Sturgeon Academy has trained hundreds of individuals from support staff to Directors to Non-Executive Board Members; both onsite at Sturgeon Academy's office or based at a firms' offices.

### Training specifically for your firm

All Sturgeon Academy's courses are designed for onsite training and teams can vary from small groups up to larger numbers as required. Onsite training enables us to offer a tailored programme for your team which will depend on what is relevant for your business requirements. These training courses are as follows :

- Introduction to Compliance
- Senior Management Obligations and Effective Corporate Governance
- Anti-money Laundering Training
- Market Abuse Training
- Anti-Bribery Training
- Senior Management Arrangements Systems and Controls 'SYSC'
- Data Protection
- Human Resources and Training & Competency under the FCA
- Marketing an Unregulated Collective Investment Scheme (UCIS)

Sturgeon Academy will guide you to ensure that the training is specifically geared around your business and delivered appropriately. Only qualified directors/consultants will carry out the training using their expertise of market knowledge of the regulatory environment to provide a personalised programme with full interaction expected from those attending.

### Sturgeon Academy Onsite Courses

Our courses are based either in our Central London office or at our training office in SW London. Sturgeon Academy ensures that these sessions consist of smaller groups and for your firm only to ensure the training is tailored around your specific business needs. Below are some of our sample courses.

### The Regulatory Incubator - clients; receive all the training below included in their fees



### Introduction to Compliance

This training day focuses on the specific regulatory and compliance areas for your business to ensure they can carry out their responsibilities efficiently. The session will be designed with your firm in mind and will ensure that by the end of the session your team will be able to identify the relevant FCA rules and regulations and show competence in the following areas :

- UK Regulation
- Conduct of business rules
- Disclaimers and Financial Promotions
- High level and business standards
- Personal obligations
- Telephone recording and retention of electronic communications
- Financial crime
- Regulatory reporting and record keeping

Cost £600 + VAT per person

Time 9.30-4pm with lunch

### Senior Management Obligations and Effective Corporate Governance Training

This training ensures that any current/new SIF's (Significant Influence Functions) are informed and made aware of their enhanced personal obligations as well as the relevant regulatory requirements, not only individually as a SIF, but as part of a firm's governing body.

Areas covered during the training will include what is meant by the Fit and Proper 'Test' , the Approved Persons' Regime ('APER'), Regulatory context and Principles for Business (PRIN), SYSC (Senior Management Arrangements, Systems and Controls).

Cost £300 + VAT per delegate

Duration : 1 ½ hours

Number of delegates : maximum six per session to ensure a good level of interactive discussion

### Anti-money Laundering Training

Firms have an obligation to their team to ensure they are provided with the appropriate training with regard to Money Laundering risk and prevention in order to adhere to the FCA rules and by law. This training should take place as soon as possible once any new starters have joined the business and then at regular intervals beyond this. The aim of the training is to ensure that staff understand the AML, legal and regulatory framework as it relates to their business.



Cost : £200 + VAT per person

Duration : 1 ½ hours

### Anti-Market Abuse Training

Sturgeon Academy will bespoke this training according to each clients' compliance infrastructure and ensure staff are able to first identify and then mitigate and manage any market abuse risk.

Cost £200 + VAT per person

Duration : 1 ½ hours

### Anti-Bribery Training

This training will provide the foundation to the UK's statutory requirements and highlight the offences and defences relating to bribery. It will also link the existing obligations from a regulatory perspective in areas of financial crime, inducements and conflicts of interest management. On completion of this training you should be able understand the implications of financial crime and how they impact your business. The training will also highlight the importance of procedures (existing and enhanced) which will aim to manage and mitigate any potential bribery risks faced by your firm. The course will include a pack which includes a Policy for your internal Policies and a Policy for your website.

Cost £150 + VAT per person

Duration : 1 ½ hours

### Senior Management Arrangements, Systems and Controls ('SYSC')

This training is aimed at giving clear guidance to senior management into FSA reporting and also senior management responsibilities. The training will also cover prudential capital requirements relevant to Limited Licence Firms and show practical examples of completing capital adequacy, balance sheets, P&L and large exposure regulatory returns. Included in the session will be :

- Capital adequacy
- Procedures
- Monitoring
- Non –financial returns
- ICAAP
- Integrated regulatory reporting

Cost £200 + VAT per person

Duration : 3 hours



### Human Resources and Training & Competency (T&C )under the FCA

This training session is a full day session and covers a comprehensive number of issues relating to HR and Training and Competency for your firm. The session will cover the following topics :

- Regulation and the HR Agenda relationship between corporate culture, regulatory compliance and the mitigation of people risk
- Responsibilities for People in a Regulated Environment :-
  - Role of the firm
  - Responsibilities of senior management
  - Responsibility of individuals
- Authorisation and High Level Standards for Firms
  - Threshold Conditions
  - FCA Principles
  - Senior Management systems and controls
- Controlled Functions and Approved Persons Regime
  - Types of controlled functions
  - Principles for approved persons
- Governance, and Senior Management
  - Governance and Culture and SIF's
  - Competence Framework for Senior Manager and NEDs (Non-Exec Directors)
- T&C Structures
  - Although pointed at Retail, what does this mean for wholesale
- Regulation and Employee Life Cycle
  - Recruitment and selection arrangements
  - The Remuneration Code
  - Succession Planning
- Holding Firms and Individuals to account

Cost £400 plus VAT per person

Duration :1 Day work shop (including refreshments)

### Marketing an Unregulated Collective Investment Scheme (UCIS)

Interactive Groups Sessions

Bring your own Fund Presentation for seasoned investors to discuss with you.

The following key topics will be covered :

- Disclaimers
- Due Diligence expected by a new investor
- Suitability Reports, what should they look like (when are they needed)
- Private Placement Regime under AIFMD - process
- Ongoing Monitoring - what would the FCA expect to see



Total £250.00 per delegate

Duration: 1/2 day