



ECSM CERTIFICATION WORKSHOP COURSE OUTLINE

COURSE TITLE: REGULATING THE SECURITIES MARKET - UNDERSTANDING COLLECTIVE INVESTMENT SCHEMES

COURSE CODE: ECISM10016

COURSE DESCRIPTION

This session discusses the definition of a Collective Investment Scheme and the requirements of the Securities Act and Regulation as regards to the establishment of such schemes within the ECSM.

COURSE LEVEL

The course requires a first degree in Finance or similar certification or supervisory/management experience in a regulated financial institution.

LEARNING OUTCOMES - What You Will Know

At the conclusion of the course you should:

- Be able to define collective investment schemes;
- Understand, design and implement the reporting structure required to meet the statutory reporting requirements;
- Understand the structure of ECSM collective investment schemes (the participants and their interrelationships);
- Understand the requirements for the establishment/authorisation of collective investment schemes in the ECSM;
- Understand the investment restrictions and reporting/disclosure requirements of ECSM collective investment schemes.

CONTENT OUTLINE AND COMPETENCIES - What You Will Cover

Topics

- Definition of a Collective Investment Scheme;
- The Structure of Collective Investment Schemes in the ECSM;
- Requirements and Procedures for the Authorisation of Collective Investment Schemes in the ECSM;
- Roles and Responsibilities of the Management Company, Custodian and Trustee of Collective Investment Schemes;
- Investment Restrictions;
- Reporting Requirements.

