GP Global Ltd
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Continuous Professional Training (CPT) Courses for persons registered in the certification register

E ï Course: 17, 18 and 19 November 2020

P.O. Box 59565, 4010 Limassol ï CYPRUS
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Continuous Professional Training for persons registered in the public register

The Need

Articles 17(1) and 17(2)(a) of the ñDirective regarding the certifications of persons and the certification registersò state that:

17(1) Registered persons shall be obliged to renew their registration in the certification register within two months from the end of each calendar.

17(2)(a) Registered persons in the certification register shall be deemed to have renewed their registration when they submit to the Commission a statement of continued professional training on topics that fall within the relevant legislative framework which applies to them and which relates directly to the duties which they will undertake as part of their certification, of a duration of **ten (10) hours for persons registered in the public register for the basic examination, fifteen (15) hours for persons registered in the public register for the advanced examination and ten (10) hours for persons registered in the public register for AML compliance officers for each calendar year.**

The purpose of the above provision is to ensure that, the registered persons in the certification register («certified persons») are informed of the legal framework, they are obliged to comply with, when they provide/carry out investment services/activities.

The Aim

To satisfy CySecôs provision, for Continuing Professional Training, enabling CIFôs employees to maintain their certification.

To expand the knowledge and competence of CIFôs and ASPôs employees.

To answer and solve questions participants might have in the taught syllabus. In this respect:

All instructors have several years of experience, working for different companies in different positions learned how to deal with day to day issues and are able to help you move from legislation to practice, answer questions that arise as part of everyday practice and advise you how to tackle issues as part of your daily practice.

Course Details

Continuing Professional Training (CPT) courses

Cost: Euro 120* + VAT per 5 CPDs per participant

*** For clients** of GP GLOBAL LTD: Euro 90 + VAT per 5 CPDs per participant**

Title	Dates	Time	Duration	Language	Venue
Prevention and detection of Market Abuse Compliance with article 16(2) of MAR	17 November 2020	10:00 ï 15:30	5 CPDs	English	E-Course
GDPR in practice	18 November 2020	10:00 ï 15:30	5 CPDs	English	E-Course
Stages of Money Laundering Analyze more than 200 Red Flags - Suspicious Activity Indicators related to ML How Financial Institutions can identify, mitigate and manage money laundering risks by undertaking Source of Wealth (SoW) and Source of Funds (SoF) checks	19 November 2020	10:00 ï 15:30	5 CPDs	English	E-Course

** Clients to whom the following services are offered: Internal Audit, Compliance Outsourcing, Risk Management Outsourcing, Consulting services on a retainer basis.

Additional information

For additional information please contact us at:
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PRESENTERS

All instructors have several years of experience, working for different companies in different positions learned how to deal with day to day issues and are able to help you move from legislation to practice, answer questions that arise as part of everyday practice and advise you how to tackle issues as part of your daily practice

George Papanicolaou

Experience

George Papanicolaou has more than 20-years experience in the Financial industry. He worked for several years in managerial positions as area Manager, Head of Brokerage, Compliance Officer, Anti Money Laundering Officer, General Manager and Executive Director in Cypriot Investment Firms as well as Managing Director of GP GLOBAL LTD offering consulting services and training courses to Investment Firms, focuses in Internal Audit, compliance & AML issues. He offered numerous courses/seminars both in Cyprus and abroad in Investment Firms Law as well as in Compliance & Anti Money Laundering. George Papanicolaou is also a Chairman of a Nomination Committee in a company listed in the Oslo Stock Exchange.

Education

George Papanicolaou holds a BSc in Electronic Engineering from the University of Texas at Austin (USA), an MBA with specialization in Finance from Leicester University (UK) and a Postgraduate Certificate in the Mechanics of Risk Management from Middlesex University (UK). He also holds an ICA International Diploma in Anti Money Laundering from the International Compliance Association and the University of Manchester, as well as an Advance certificate from the Cyprus Securities and Exchange Commission for the provision of investment services/activities.

He is a Fellow of the International Compliance Association (FICA), Mentor of ICA new students, member of the Cyprus Institute of Internal Auditors and the first Network chair for Cyprus of the International Compliance association.

Andreas Nicolaides

Experience

Andreas Nicolaides has more than 7-years experience in the financial Industry. He is the Operations Manager of GP GLOBAL LTD offering consulting services and training courses to Investment Firms, Administrative Service Providers and Funds focuses in Internal Audit, compliance & AML issues. He is a member of the Internal Audit team of GP GLOBAL LTD and involved in numerous Internal Audits of Cyprus Investment Firms, Administrative Service Providers and Funds where he was engaged, among others, in the audit for compliance with the GDPR regulatory framework. He has completed a number of trainings on GDPR regulatory framework and assisted a number of Cyprus Investment Firms, Administrative Service Providers and Funds to comply with their GDPR legal obligations.

Education

Andreas Nicolaides holds a BA in Business Management from the Northumbria University (Newcastle - UK) as well as an Advance certificate from the Cyprus Securities and Exchange Commission for the provision of investment services/activities.

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Seminar Content

Continuing Professional Training course	
Venue: E-course **Date: 17 November 2020** **Time: 10:00 ï 15:30** **(5 CPD)**	
Prevention and detection of Market Abuse **Compliance with article 16(2) of MAR**	
• Why Market Abuse Regulation (MAR) has been introduced • Basic Definitions • What are the key points of MAR • Investment Firms obligations • Financial instruments within the scope of MAR • Explain why financial instruments may not only be manipulated by executing transactions on a trading venue • What is market abuse • What is inside information, precise nature, made public • What is insider dealing • Prohibition of insider dealing and of unlawful disclosure of inside information • What is Market manipulation • In which cases prohibitions of Articles 14 and 15 of the MAR do not apply • Market soundings • Indicators of manipulative behaviour relating to false or misleading signals and to price securing	• Indicators of manipulative behaviour relating to the employment of a fictitious device or any other form of deception or contrivance • Examples of the various types of practice which would constitute market manipulation • Possible Signals of Suspected Insider Dealing or Market Manipulation Transactions • Prevention and detection of market abuse - How to Comply • 5 Best Practices for MAR Compliance • The compliance process under MAR • Key steps firms should take to successfully manage the transition from surveillance to identifying market abuse • Monitoring Securities Trading for Market Manipulation and Insider Trading • Development of an in-house System, Monitor ï Reports • Powers of the competent authority (CySEC) • Administrative measures and sanctions
Duration of Training	**5,00**

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Seminar Content

Continuing Professional Training course	
Venue: E-course **Date: 18 November 2020** **Time: 10:00 ï 15:30** **(5 CPD)**	
GDPR in practice	
• Summary of GDPR legislation • Why and how to develop a Data Flow Map • What the Record of Processing Activities is and why a company shall develop it. (Templates) • What a Data Protection Impact Assessment is, when to be conducted and the process to be conducted. (Example) • Provide the necessary information to data subjects (clients, employees, candidates for open job positions) • When to transfer personal data to a third country or an international organisation, transfer between companies of the same group, the appropriate safeguards to be implemented • A number of organisational and technical security measures that a company shall implement for the safety of the processing activities • A set of documents that a company is good to have in place. (Data subjects' rights, personal data breach)	• Why a company shall upload a privacy policy on its website and what shall include • Why to develop a cookies policy and examples of how to notify website visitors for the use of cookies • The role of the Data Protection Officer. When shall be assigned, who shall be assigned and the DPO's tasks • The latest developments on the EU-USA Data Protection Shield. How developments affect the transfer of personal data to USA • GDPR and Brexit. What happens now that the UK has left the EU. How does Brexit affect personal data transfers to UK • Description of a number of administrative sanctions imposed by supervisory authorities of different countries.

Duration of Training	**5,00**		

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Seminar Content

Continuing Professional Training course

Venue: E-course
Date: 19 November 2020
Time: 10:00 ï 15:30
(5 CPD)

Stages of Money Laundering

Analyze more than 200 Red Flags - Suspicious Activity Indicators related to ML

How Financial Institutions can identify, mitigate and manage money laundering risks by undertaking Source of Wealth (SoW) and Source of Funds (SoF) checks

- What is Money Laundering
- Definition of money laundering
- The Money Laundering Process
- Stages of money laundering
  - The first stage in the washing cycle ï Placement
  - The second stage in the washing cycle ï Layering
  - The third stage in the washing cycle - Integration
- Suspicious Activity Indicators - Red Flags:
  - Suspicious indicators relevant to the securities sector
- Functions most useful to a potential money launderer
- Red flag indicators of money laundering of terrorism financing:
  - Client Red Flags
  - Parties involved Red Flags
  - Source of funds Red Flags
  - The lawyer Red Flags
  - The retainer involved Red Flags
  - Trust and Company Service Providers Red Flags
  - Real Estate Red Flags
- Source of Wealth and Source of Funds
  - Documenting the SoW and/or SoF
  - What is Customer SoW
  - When and how is SoW Due Diligence conducted
  - What SoW information is useful for decision-making
  - What role does SoW Corroboration play in decision-making
  - What is Customer SoF
  - What SoF information is useful for decision-making
  - What role does SoF Corroboration play in decision-making
  - Source of Wealth and Source of Funds in Customer Risk Assessment
  - How can Obliged Entities approach on-going Due Diligence and Monitoring
  - SoW and SoF: Examples of poor practice
  - SoW and SoF: Examples of good practice
  - Establishing the SoW as part of Enhanced Due Diligence (EDD)
- Examples of what might constitute suspicious transactions:
  - New Clients suspicious transactions/activity
  - Clientôs Accounts transactions/activity
  - Unusual Customer Identification Circumstances
  - Characteristics of a customer and/or his business
  - Customers who provide insufficient or suspicious information
  - Activity inconsistent with the customerôs business profile
  - Unusual Customer Behavior
  - Unusual Cash Transaction
  - Investment related transactions
  - Unusual activity in a Broker-Dealer setting
  - Transactions attached to specific jurisdictions
  - Transactions through bank or trust company accounts
  - Unusual safe deposit box activity
  - Wire transfer/ international activity
  - Transactions from employees or agents or trustees
  - Unusual activity in credit transactions
  - Unusual commercial account activity
  - Unusual activity indicative of Trade-based Money Laundering
  - Unusual activity for virtual currency
  - Insurance products
  - Unusual Real Estate Activity
- Unusual activity indicative of potential terrorist financing

Duration of Training	**5,00**		



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Continuous Professional Training of the persons registered in the certification register Cyprus Investment Firms

REGISTRATION FORM

Course subject	Venue	Date / Time	
Prevention and detection of Market Abuse Compliance with article 16(2) of MAR (5 CPDs) **Check whether Eligible for reduced Fees**	E-Course	17 November 2020 10:00 ï 15:30	☐

Course subject	Venue	Date / Time	
GDPR in practice (5 CPDs) **Check whether Eligible for reduced Fees**	E-Course	18 November 2020 10:00 ï 15:30	☐

Course subject	Venue	Date / Time	
Stages of Money Laundering Analyze more than 200 Red Flags - Suspicious Activity Indicators related to ML How Financial Institutions can identify, mitigate and manage money laundering risks by undertaking Source of Wealth (SoW) and Source of Funds (SoF) checks (5 CPDs) **Check whether Eligible for reduced Fees**	E-Course	19 November 2020 10:00 ï 15:30	☐

Cost: Euro 120* + VAT per 5 CPDs per participant

*** FOR CLIENTS** OF GP GLOBAL LTD: Euro 90 + VAT**

Eligible for reduced Fees?	
Client of GP GLOBAL LTD	☐

** Clients to whom the following services are offered: Internal Audit, Compliance Outsourcing, Risk Management Outsourcing, Consulting services on a retainer basis.

COMPANY DETAILS

Company Name:			Fax:	
Contact Person:			Email:	
Telephone:			Website:	
Address:				

PARTICIPANTS INFORMATION

	Name	Surname	Email	Mobile No.
1.				
2.				
3.				
4.				
5.				

Invoices are issued upon registration and they are due payable at least 15 days prior to the beginning of each course. We consider that by signing this form, you commit in setting the invoice for the seminar.

Cancellation policy: The course will run subject to a minimum number of participants and GP GLOBAL LTD shall not bear any responsibility and/or liability for any damages to the participants due to course(s) cancellation.

- 100% refund in case of cancellation of the course by GP GLOBAL LTD
- 50% refund for cancellations received in writing by 7 days prior to the beginning of each course

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Date: _____ Signature _____