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

E – Course: 17, 18 and 19 November 2021

P.O. Box 59565, 4010 Limassol – 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 "Directive regarding the certifications of persons and the certification registers" 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 CySEC's provision, for Continuing Professional Training, enabling CIF's, ASP's and Investment Fund's employees to maintain their certification.

To expand the knowledge and competence of CIF's, ASP's, Investment Fund's, Trust Service Corporate Provider's, Bank's, Law Firm's, Accounting Firm's and Insurance Companies' 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
The ML/TF Risk Factors Guidelines	17 November 2021	10:00 – 15:30	5 CPDs	English	E-Course
Apply GDPR provisions in your organisation	18 November 2021	10:00 – 15:30	5 CPDs	English	E-Course
Investment Funds Legislation and Practice	19 November 2021	10:00 – 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:
Tel.: +357 25755911
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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 and Money Laundering 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 Network chair for Cyprus of the International Compliance association.

Dr. Nektarios Michail

Experience

Nektarios Michail has more than 8 years of experience in the financial services industry, holding a variety of roles. His work experience ranges from commercial banks and Cyprus Investment Firms to Central Banking and Investment Funds, where in all cases he has had the opportunity to obtain a hands-on experience with markets and real-life economic analysis and forecasting. In the past few years, he has offered a variety of courses/seminars in Investment Fund Legislation, Marketing Compliance, Risk and Portfolio Management, as well as Wealth Management. He is the author of more than 30 published scientific articles that have appeared in numerous academic journals on topics including exchange rate forecasting and determinants, economic policy, banking, shipping, and the stock market. He is also the author of a book called “Money, Credit, and Crises: Understanding the Modern Banking System” that has been published by Palgrave-Macmillan.

Education

Nektarios holds a Ph.D in Financial Economics from the Cyprus University of Technology, an MSc in Economic Analysis from the University of Cyprus, and a BSc in Business Administration – Management Science from the same institution. He also holds a CISI Wealth Management (Level 4) degree, as well as an Advance certificate from the Cyprus Securities and Exchange Commission for the provision of investment services/activities, while he is also an HRDA-certified trainer.

Andreas Nicolaides

Experience

Andreas Nicolaides has more than 8-years experience in the financial Industry. He is the Operations Manager of G.P. 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 G.P. GLOBAL LTD and is involved in numerous Internal Audits of Cyprus Investment Firms, Administrative Service Providers and Funds where he is 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). Andreas also holds an Advance and Money Laundering 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 2021** **Time: 10:00 – 15:30** **(5 CPD)**	

The ML/TF Risk Factors Guidelines

Risk assessments: key principles for all firms

- General considerations
- Keeping risk assessments up to date
- Business-wide risk assessments
  - Proportionality
  - Implementation
- Linking the business-wide and individual risk assessments
- Individual risk assessments
  - Initial Customer Due Diligence
  - Obtaining a holistic view
  - Ongoing customer due diligence
- Sources of information

Identifying ML/TF risk factors

- Customer risk factors
- Countries and geographical areas risk factors
- Products, services and transactions risk factors
- Delivery channel risk factors

Assessing ML/TF risk

- Taking a holistic view
- Weighting risk factors
- Categorising risk

CDD measures to be applied by all firms

- Customer due diligence
  - Financial inclusion and de-risking
  - Beneficial owners
  - Beneficial ownership registers
  - Control through other means
  - Identifying the customer's senior managing officials
  - Identifying the beneficial owner of a public administration or a state-owned enterprises
  - Evidence of identity
  - Non-face to face situations
  - Using innovative technological means to verify identity
  - Establishing the nature and purpose of the business relationship
- Simplified customer due diligence
- Enhanced customer due diligence
  - Politically Exposed Persons
  - High-risk third countries
  - Correspondent relationships
  - Unusual transactions
  - Other high-risk situations
  - Other considerations
- Monitoring
  - Transaction monitoring
  - Keeping CDD information up to date

Duration of Training	**5,00**		

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Seminar Content

Continuing Professional Training course

Venue: E-course
Date: 18 November 2021
Time: 10:00 – 15:30
(5 CPD)

Apply GDPR provisions in your organisation

The GDPR Legislation in Summary and start with a Data Flow Map

- A brief summary about the Regulation (EU) 2016/679 (GDPR Regulation)
- When the GDPR Regulation applies
- What a Data Flow Map is
- How a Data Flow Map helps an organisation
- How to develop a Data Flow Map

How and Why a Record of Processing Activities shall be developed and the process to conduct a Data Protection Impact Assessment

- Why a Record of Processing Activities should be developed
- What the Record of Processing Activities should include
- Examples of Record of Processing Activities
- What a Data Protection Impact Assessment (DPIA) is
- In which cases a DPIA should be performed
- How an organisation can carry out a DPIA

What information should be provided to data subjects and understand when it is lawful to transfer personal data to third countries

- Why an organisation must provide certain information to data subjects
- The information that should be provided to data subjects
- How this information can be provided
- Informing employees and candidates for employment
- The cases when an organisation can lawfully transfer personal data to third countries
- How organisations of the same group can transfer personal data between them
- What an agreement between different organisations shall include for the transfer of personal data

Organisational and technical security measures that an organisation can implement and what documents an organisation should have in place

- The need to have security measures in place and how can decide what security measures to implement
- Examples of security measures
- Pseudonymisation and Encryption explained
- The data subject's rights in detail
- Examples of documents to be in place in order to respond to data subject's rights
- Data breach in brief
- The necessary documents to notify the Supervisory Authority and data subjects in case of a breach

Develop a "Privacy Notice" and a "Cookies Policy"; What should be included

- Why a "Privacy Notice" should be developed
- The information that a "Privacy Notice" should at least include
- Explanation of the information that a "Privacy Notice" should at least include
- Develop a "Cookies Policy"
- What "cookies" are, the "cookies" legislation and the different types of "cookies"
- Examples of "cookies" banner/notice

How a Data Protection Officer is involved in an organisation

- The role of the Data Protection Officer (DPO)
- When a DPO shall be designated
- The tasks of the DPO
- The expertise and skills that a DPO should have
- Who can be designated as a DPO

Duration of Training	**5,00**		

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Seminar Content

Continuing Professional Training course

Venue: E-course
Date: 19 November 2021
Time: 10:00 – 15:30
(5 CPD)

Investment Funds Legislation and Practice
A detailed view into the AIF and UCITS industry in Cyprus

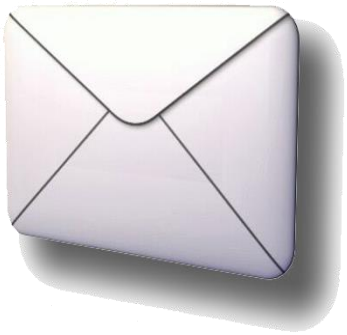
- Introduction: AIF Basics:
  - Types of AIFs
  - Service Providers
  - Managers
- General Characteristics of AIFs:
  - AIF Setup
  - Umbrella AIFs
  - Authorizations
  - Common Funds, Investment Companies, Limited Partnerships and their uses
- Alternative Investment Fund Managers:
  - The AIFM law
  - AIFM activities
  - AIFM risk management obligations
- Common provisions:
  - Risk management provisions
  - AIF Depositary
  - AIF units and marketing
- AIF external managers
- AIF depositary:
  - Location of the depositary
  - Assets subject to custody
  - Tasks and obligations
  - Liability and resignation
- AIF marketing and strategies:
  - Information availability
  - Own funds and insurance
  - Passporting
- KIID and SRRI
  - What is the KIID
  - Explanation of the KIID constituents
  - The risk indicator
  - Practical KIID examples
- Risk Management in AIFs
  - Risk management overview
  - Liquidity management
  - Valuation
- Risks per AIF type
  - Funds of Funds
  - Real Estate Funds
  - Hedge Funds
  - Private Equity Funds
- The PRIIP
  - What are PRIIPs and how they are used
  - PRIIPs vs KIIDs
- Practical examples
- Post-Covid AIF Developments
  - Real Estate and Debt Funds during the pandemic
  - Current state of the market
- Risk management in UCITS:
  - What is a UCITS
  - Practical examples
  - UCITS market and other risks
  - Identification of risks
  - Risk measurement techniques
  - Stress Testing
  - UCITS risk principles
  - Risk priorities within the regulatory environment
  - The risk management function in UCITS
  - Portfolio and risk management
  - Outsourcing
  - Risk limits and risk management effectiveness
  - Deviations from risk limits

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	
The ML/TF Risk Factors Guidelines (5 CPDs) **Check whether Eligible for reduced Fees**	E-Course	17 November 2021 10:00 – 15:30	☐
Apply GDPR provisions in your organisation (5 CPDs) **Check whether Eligible for reduced Fees**	E-Course	18 November 2021 10:00 – 15:30	☐
Investment Funds Legislation and Practice (5 CPDs) **Check whether Eligible for reduced Fees**	E-Course	19 November 2021 10:00 – 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

Personal Data protection: GP Global Ltd acts as a controller in accordance Regulation (EU) 2016/679. GP Global would like to receive your consent to process your personal data received for the purpose of sending you by email information regarding the seminars and events we organize from time to time and providing information which might be of interest of you.
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Date: _____ Signature _____

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