GP Global Ltd
Tel.: +357-25755911 - Fax: +357-25755660
www.gpglobalcy.com - gpinfo@cytanet.com.cy

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

E – Course: 15, 16 and 17 November 2022

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Continuous Professional Training for persons registered in the public register

The Need

Articles 17(1), 17(2) and 17(3) of the "Directive regarding the certifications of persons and the certification registers of 2019 to 2021" 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 AML compliance officers register, for each calendar year.**

17(3)(a) Persons that are registered **both** in the public register for the **basic examination** and the **AML compliance officers register,** must 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 five (5) hours for persons registered in the public register for the basic examination, plus ten (10) hours for persons registered in the public register for AML compliance officers – being **a total of fifteen (15) hours for both renewals**.

17(3)(b) Persons that are registered **both** in the public register for the **advanced examination** and the **AML compliance officers register,** must 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 advanced examination plus ten (10) hours for persons registered in the public register for AML compliance officers – being **a total of twenty (20) hours for both renewals**.

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
Appropriateness Test & Appropriateness scoring	15 November 2022	10:00 – 15:30	5 CPDs	English	E-Course
Key conditions for the implementation of GDPR	16 November 2022	10:00 – 15:30	5 CPDs	English	E-Course
AML: Business Wide Risk Assessment (BWRA)	17 November 2022	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
Email: gpinfo@cytanet.com.cy

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 the first Network chair for Cyprus of the International Compliance association.

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: 15 November 2022** **Time: 10:00 – 15:30** **(5 CPD)**	

Appropriateness Test & Appropriateness scoring

Assessment of suitability and appropriateness

- Assessment of suitability and appropriateness
  - CIFs staff should possess the necessary knowledge and competence
  - Information from Clients when offering investment advice or portfolio management
  - Information from Clients when offering Reception, Transmission & Execution of orders
  - Reporting to clients
- Provisions common to the assessment of suitability or appropriateness
- Assessment of appropriateness and related record-keeping obligations

The assessment of appropriateness when offering CFDs or other speculative products to retail investors

- Introduction
- Information to be gathered by firms to assess the appropriateness of CFDs and other speculative products for retail clients
- Firm's action in case the product is not appropriate for the client, but the client wishes to proceed
- Other information to be considered that may be available relating to the client's situation
- Methods NCAs use to assess whether the appropriateness assessment is being performed correctly
- Product Complexity related questions

Appropriateness and execution-only

- Purpose of MiFID II appropriateness requirements
- Determining situations where the appropriateness assessment is required
- Obtaining information from clients
- Assessment of appropriateness
- Warnings to clients
- Qualifications of firm's staff
- Record-keeping

Questionnaire to Clients for assessment of their Knowledge and Experience

- Questions regarding Experience of Clients
- Questions regarding Knowledge of Clients
- Appropriateness Test – Scoring
- Clients FAQ

Duration of Training	5,00		

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Seminar Content

Continuing Professional Training course	
Venue: E-course **Date: 16 November 2022** **Time: 10:00 – 15:30** **(5 CPD)**	
Key conditions for the implementation of GDPR	
All about GDPR Consent - How to obtain a valid Consent • Key Definitions • Brief summary of GDPR • Obtaining a Consent as a lawful basis to process personal data • How a Consent can be collected – Examples • More conditions to understand the Consent • Element 1: The Consent must be "Freely Given" • Element 2: The Consent must be "Specific" • Element 3: The Consent must be "Informed" • Obtain a Consent – Examples • Additional conditions for obtaining valid Consent • Withdrawal of Consent – Examples • Withdrawal of Consent – General Conditions	**Data Protection Officer (DPO) - Checklist** • DPO – Key points • Knowledge, expertise and skills of the DPO • The DPO Checklist - Key elements to check **GDPR Fines-What to avoid** • GDPR fines - General conditions • Orders by the supervisory authority • The two levels of GDPR administrative fines • GDPR fines – What to avoid (Real Cases) • GDPR fines – What to consider
Duration of Training | **5,00**	

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Seminar Content

Continuing Professional Training course

Venue: E-course
Date: 17 November 2022
Time: 10:00 – 15:30
(5 CPD)

AML: Business Wide Risk Assessment (BWRA)

Understanding Business Wide Risk Assessment

- What is Business Wide Risk Assessment?
- The main objectives of the Business Wide Risk Assessment
- The Legal basis
- Brief description of an effective BWRA framework
- Whose responsibility is it to undertake a risk assessment?
- Basic principles of the BWRA
- A holistic view of ML/TF/PF risk

Good practices and desired outcomes

- Good practices
  - Set appropriate tone-from-the-top
  - Exercise oversight of processes to ensure sound BWRA frameworks and effective implementation
- Desired outcomes
  - Outcome 1: Senior management maintain active oversight of BWRA frameworks and processes
  - Outcome 2: Have in place sound and systematic frameworks and processes
  - Outcome 3: Perform adequate and accurate qualitative and quantitative analyses
  - Outcome 4: Assess effectiveness of controls
  - Outcome 5: Have in place systematic processes to establish and implement control measures
  - Outcome 6: Have in place structured processes to perform gap analysis

Business-wide risk assessment methodology

- Brief description of the BWRA methodology
- Identify money laundering risks - Determine the inherent risk
- Assess money laundering risks
- Mitigate money laundering risks – Arriving at the Residual Risk
- Compare results of the ML/TF risk assessments with Company's Risk appetite and determination of additional measures
- Reviewing Company's business-wide risk assessment
- AML Unit Override
- Summary of Company's Business-wide risk assessment
- Examples of risk factors

Duration of Training	**5,00**		





GP GLOBAL LTD

7, Alkaios street, Alkaios Court, Flat 103
3090 Limassol, CYPRUS
P.O. Box 59565, 4010 Limassol, CYPRUS

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Fax: +357-25755660

Email:
gpinfo@cytanet.com.cy
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Continuous Professional Training of the persons registered in the certification register Cyprus Investment Firms

REGISTRATION FORM

Buy the Courses online - https://icpte.com/live-online-courses

Course subject	Venue	Date / Time	
Appropriateness Test & Appropriateness scoring (5 CPDs) **Check whether Eligible for reduced Fees**	E-Course	15 November 2022 10:00 – 15:30	☐
Key conditions for the implementation of GDPR (5 CPDs) **Check whether Eligible for reduced Fees**	E-Course	16 November 2022 10:00 – 15:30	☐
AML: Business Wide Risk Assessment (BWRA) (5 CPDs) **Check whether Eligible for reduced Fees**	E-Course	17 November 2022 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.
Please click the box to receive your consent for the above purpose: ☐
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You have the right to withdraw your Consent at any time by sending an email to gpinfo@cytanet.com.cy:

Please complete Registration Form and send to:
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Date: _____ Signature _____