

Module 2

Regulatory dynamics & practical implications

In collaboration with
VU Amsterdam

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CFA Society VBA Netherlands

About this module

This module provides participants insight into European and Dutch laws and regulations that apply to the financial sector. In addition participants will learn more about how to deal with various regulators as well as ethical principles.

Content

Laws, regulations and guidelines are essential to define the playing field for the investment professional. At the end of this module you will understand how this works, how the different regulations interact and what the underlying ethical principles and assumption choices are. These will help you perform in this seemingly complex playing field.

Learning objectives

- Participants will have more knowledge about the framework of European and Dutch laws and regulations that apply to the financial sector. In particular the investment sector.
- During this module participants will work on various assignments. These assignments will add to both communication skills (presenting and explaining complex ideas simply) and curiosity (openness to new ideas and challenging conventional wisdom) to find solutions to complex regulatory and ethical issues.

Topics

- Principles around MiFID and Wft
- Basic principles around the theory of financial ethics
- Legislation and guidelines regarding MAR (Market Abuse Regulation) and MAD (Market Abuse Directive)
- Legislation and guidelines regarding European and Dutch laws and regulations for investment funds
- Legislation and guidelines regarding European and Dutch laws and regulations for pension funds

Study load & Format

The module will require 10 weeks of 10-12 hours of study load, including classes. This will vary according to your pre-education and work experience.

You are expected to attend in-class lectures at VU Amsterdam*, which are supported by pre-readings and pre-assignments.

**) depending on COVID-19 developments, lectures may take place at an alternative location or may be offered online*

Classes & Lecturers

Monday November 7, 2022 from 15:00 to 21:00

Regulatory framework by Tom Loonen

Market abuse by Pieter van der Korst

Monday November 21, 2022 from 15:00 to 21:00

Market abuse by Pieter van der Korst

Regulatory framework for investment funds

by Randy Pattiselano

Monday December 12, 2022 from 15:00 to 21:00

Communication with regulators by Saskia Nuijten

Financial ethics by Johan Wempe and Rebecca Ruehle

Monday December 19, 2022 from 15:00 to 21:00

Financial ethics by Johan Wempe and Rebecca Ruehle

Relevant legal framework pension funds and insurance companies by Robert Smits

Monday January 9, 2023

Exam

Designed for you?

Ideally you are a mid to senior career professional.

Typically you work as:

- investment manager
- portfolio manager
- risk manager
- investment administrator
- investment advisor
- fiduciary manager
- client manager

Participants could also work in a capacity of trustee, work for a regulatory authority or hold a supervisory position.

Registration & Admission

If you would like to apply for this module, or the complete RBA program, a short motivation and resume is required. Admission will be based upon your pre-education and the level of relevant work experience.

Please send your application to:

annemarie.munnik@cfavba.nl

Colophon

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