



ECSM CERTIFICATION WORKSHOP COURSE OUTLINE

COURSE TITLE: REGULATING THE SECURITIES MARKET: REGULATORY FRAMEWORK AND OVERVIEW OF THE ECSM SECURITIES LEGISLATION

COURSE CODE: ECSM1002

COURSE DESCRIPTION

This session discusses the body of legislation governing the ECSM [Securities Act and Amendment, Regulations, Rules] and the objectives of regulation, identifying the regulators (Commission and SROs) and providing information as to their structure and operations.

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 conversant with the key regulatory requirements of the ECSM;
- Understand the licensing regime for market participants;
- Be aware of the prohibited activities and market abuses in the ECSM;
- Be aware of the Securities Act and Regulations governing the ECSM.

CONTENT OUTLINE AND COMPETENCIES - What You Will Cover

Topics

- Objectives of Market Regulation;
- The ECSM Regulatory Framework (ECSRC, ECSE, ECCSD);
- Services/Products Requiring Licensing Under the Securities Act;
- Conditions for Licensing and Accreditation;
- Suspension/Revocation of Licenses;
- Licensee Reporting Requirements;
- Conduct of Business;
- Prohibited Activities and Market Abuses.