

## || MIF 2 – Knowledge assessment and maintenance system – E-learning course – 3 months

Code  
**702728**

Durée  
**3 mois**

Tarif Inter\*  
**120 €**  
**HT**

*\*Repas inclus (en présentiel)*

### **PUBLIC**

Employees in the following entities: banks, insurances, investment firms, credit companies, brokers, financial intermediaries as a whole, market infrastructures, and more generally any employee involved in financial activities having passed the AMF exam previously, preferably one year ago

### **PRÉ-REQUIS**

Anyone involved in up to date mandatory constraints on general financial knowledge

### **NIVEAU D'EXPERTISE**

Perfectionnement

### **LES POINTS FORTS**

A large interactive activities program

Train yourself whenever and wherever you want

You adapt rhythm and pace according your needs

### **MOYENS PÉDAGOGIQUES**

- A set of 2 tests is available:
  - ▶ Technical points: financial markets and financial management (15 questions)
  - ▶ Regulatory points: relations with the customer, anti money laundering, in-formation given to the customer, fees, market abuses (15 questions)
- This 30 questions test requires a 80% passing level ; should you fail, you may resume the on line course (documents, e-learning, mock exam) and exam again
- A 100% distance learning course, displayed according your rhythm
- Interactives short sessions with regular evaluations
- A completion quiz at the end of each module

### **SATISFACTION ET EVALUATION**

- L'évaluation des compétences sera réalisée tout au long de la formation par le participant lui-même (auto-évaluation) et/ou les

## **Objectifs pédagogiques**

- Monitor compliance with legal obligations regarding customer protection and anti-money laundering
- List key parameters for customer protection
- Explain to clients how financial markets work
- Detail the strengths of collective investment management world

## **Programme du module digital**

Regulation

### **Monitor compliance with legal obligations regarding customer protection and anti-money laundering**

MIF 2

- Objectives and implications in governance
- Impact on the customer relationship
- Involvement in financial investment advice

MAD regulation

- The various market abuses
- Prohibited or accepted practices
- Regulation and penalties
- Compliance and Reporting

Anti money laundering and terrorism financing (AML -TF)

- A targeted fight
- The obligation to know your customers
- The obligation of continuous vigilance
- The obligation to report suspicions
- The sanctions
- Embargoes and international sanctions

## **List key parameters for customer protection**

formateur selon les modalités de la formation.

- Evaluation de l'action de formation en ligne sur votre espace participant :
  - ▶ A chaud, dès la fin de la formation, pour mesurer votre satisfaction et votre perception de l'évolution de vos compétences par rapport aux objectifs de la formation. Avec votre accord, votre note globale et vos verbatims seront publiés sur notre site au travers d'Avis Vérifiés, solution Certifiée NF Service
  - ▶ A froid, 60 jours après la formation pour valider le transfert de vos acquis en situation de travail
- Suivi des présences et remise d'une attestation individuelle de formation ou d'un certificat de réalisation

#### **ACCOMPAGNEMENT FORMATION À DISTANCE**

En cas de nécessité, une assistance technique et pédagogique est joignable entre 8h30 et 18h (jours ouvrés):

- par téléphone : 01 83 10 10 10
- par mail : [care-formation@lefebvre-dalloz.fr](mailto:care-formation@lefebvre-dalloz.fr)

Une réponse immédiate est apportée ; si besoin, le demandeur est mis en relation avec un expert dans un délai maximum de 48h.

## Marketing of financial instruments

- Client knowledge, assessment and categorization
- Protection of client assets
- MIFID2: PRIIPS

## Knowledge of customers and adequacy of product offering

- Act in the best interests of the client
- Consideration of sustainability factors in investment advice
- Client knowledge, assessment and categorization

## Informations to give

- Prospectus and DIC PRIIPS
  - Product governance and information rules
  - Information given to customers on investment services and products
- Technical points

## Explain to customers how financial markets work

### Financial markets and instruments

- European financial sector supervisory framework
- International financial sector supervisory framework
- Issuing of stock
- Securities transactions
- Financial instruments and their risks
- Investment services
- Players in the intermediation and distribution of financial instruments
- Financial market management and its participants
- Transparency obligation pre and post trading on financial markets
- Post market and its infrastructures: the case of UCITS
- Introduction to Private Equity

### Equity, bond and money markets

- Equities, how does it work
- Bonds, how does it work
- Bond value principles
- Money market instruments
- Financial sector european regulation framework

### Hybrids and derivatives products

- Derivatives products, main characteristics
- Hybrides, how do they work
- Introduction to structured products
- Structured products: hoax or reality

### Markets' organisation and orders path

- Financial data and providers
- Execution and location of trade orders
- Typology and management of orders within organized markets
- Selection and execution policy of trade orders
- Rights and fees on deal orders on asset management style

### Accounting and fiscal rules

- Company financial statements
- Accounting and financial reports
- Taxation of individuals
- Taxation of companies

## Detail the advantages of collective management

### Collective Management

- Typology of UCITs and other collective management instruments
- Regulatory principles in asset management
- The different types of portfolio management
- Fund performance measurement
- Fund performance: quantitative and qualitative indicators

### Macroeconomy and financial markets

- Foreign exchange and emerging markets
- Main economic and monetary indicators
- The ECB monetary and prudential policy

### Sustainable Finance

- Use the proper vocabulary
- Sustainable finance and CSR stakes
- Focus on SRI
- Focus on Green finance
- Focus on solidarity finance

### Crypto assets and various tools

- Crypto-assets
- Substitutable tools and securitisation
- Intermediation

### Final Tests

## A noter

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En amont et en aval de la formation, le positionnement pédagogique sera effectué à l'aide d'un questionnaire d'auto-positionnement.