


Market Abuse Training



“Get in touch with your MMS RSL consultant to find out how they can help.”

The Obligation

Two of the Financial Services Authority’s (“FSA”) statutory objectives are to promote market confidence and reduce financial crime. From this foundation, the regulator continues to explore, adopt and enhance a range of initiatives aimed at tackling market abuse. Encapsulating both ‘insider information’ and ‘market manipulation’, the battle against market abuse is, however, considered to be more than simply a regulatory objective. Firms and senior managers are seen as key players in the collaborative effort to keep the markets clean.

→ What you need to do

“It is incumbent on the senior management of firms to guard against the risk that their staff will commit, or facilitate, market abuse and I would hope that our common desire to promote the UK as an efficient, orderly and fair market will ensure they do so.” **Hector Sants, CEO – FSA**

The FSA expects firms’ senior management to play an active role in tackling market abuse. In meeting this challenge head on, management should ensure that their firms implement and maintain effective controls. An essential aspect of this is the training of staff to ensure that all in the firm remain sensitive to this particularly hot regulatory potato.

→ How MMS RSL can help

Presentation

We have developed a Market Abuse presentation that provides both an introduction to the regulatory regime as well as an update on the very latest developments. It will also facilitate the evaluation of your current systems and controls and provide practical examples of how they may be improved.

Training

MMS RSL can also offer bespoke market abuse courses, comprising practical scenario-based training sessions using relevant case studies in an interactive environment.

The training is designed to cater for staff of all levels of experience and would typically cover the following areas:

- > The FSA’s strategy
- > Market Abuse: The legal basis
- > How the Market Abuse Directive applies to your firm
- > Defined examples of market abuse
- > Offences and penalties
- > Market Abuse Controls
- > Suspicious Transaction Reporting

→ Next steps

In the current financial climate the risk of market abuse is considered to be greater than ever and it is essential that firms remain acutely aware of their role in adhering to and, indeed, endorsing measures to combat it. Enhancements in control can pay long term dividends by minimising regulatory and reputational risks to the firm’s business.

MMS RSL is ready and able to help you take those decisive steps.

It’s our business to protect your business

At MMS Regulatory Solutions – one of the UK’s leading compliance consultancies – we want you to relax knowing that your business is protected. Get in touch today to find out how we can help you.

Call us on **020 7065 5200**, email **info@mms-rsl.com** or visit our website at **www.mms-rsl.com**