

Full list of Training Courses

1. Compliance Essentials

1.1 Essentials

These courses should take around 40-60 minutes to complete each, including a graded assessment.

- 1.1.1. Anti-Bribery Training
- 1.1.2. Anti-Money Laundering and Counter Terrorist Financing (AML/CTF) (GLOBAL)
- 1.1.3. Anti-Money Laundering and Counter Terrorist Financing (AML/CTF) (UK)
- 1.1.4. Bribery Prevention
- 1.1.5. Business Ethics and Integrity
- 1.1.6. Code of Conduct
- 1.1.7. Competition Law
- 1.1.8. DAC6
- 1.1.9. Data Protection
- 1.1.10. Electronic Communications
- 1.1.11. Embargoes and Sanctions
- 1.1.12. Environmental Awareness
- 1.1.13. Environmental Social and Governance (ESG)
- 1.1.14. Equality and Diversity in the Workplace
- 1.1.15. Equality and Diversity for Managers
- 1.1.16. Financial Crime Prevention
- 1.1.17. Financial Integrity
- 1.1.18. Financial Sanctions
- 1.1.19. Fraud Prevention
- 1.1.20. Fraud Prevention for Managers
- 1.1.21. Healthy Working
- 1.1.22. Identity Theft
- 1.1.23. Information Security
- 1.1.24. Intellectual Property Rights
- 1.1.25. Managing Safely
- 1.1.26. Mental Health at Work
- 1.1.27. Mental Health at Work for Managers
- 1.1.28. Modern Slavery
- 1.1.29. PCI Data Security Standard
- 1.1.30. Preventing the Facilitation of Tax Evasion
- 1.1.31. Records Management
- 1.1.32. Responsible Use of Social Media
- 1.1.33. Safeguarding the Vulnerable
- 1.1.34. Sexual Harassment

- 1.1.35. UK Market Abuse Regulation (UK MAR)
- 1.1.36. Unconscious Bias
- 1.1.37. Unconscious Bias for Managers
- 1.1.38. Whistleblowing
- 1.1.39. Working Safely

1.2 Essentials Refresher

These courses should take around 15 minutes to complete, and do not include an assessment.

- 1.2.1. Anti-Money Laundering - FS Version
- 1.2.2. Anti-Money Laundering - Non-FS Version
- 1.2.3. Bribery Prevention
- 1.2.4. Data Protection
- 1.2.5. Economic Sanctions
- 1.2.6. Equality and Diversity in the Workplace
- 1.2.7. Fraud Prevention
- 1.2.8. Healthy Working
- 1.2.9. Information Security
- 1.2.10. Modern Slavery
- 1.2.11. Preventing the Facilitation of Tax Evasion - FS Version
- 1.2.12. Preventing the Facilitation of Tax Evasion - Non-FS Version
- 1.2.13. UK Market Abuse Regulation (UK MAR)
- 1.2.14. Whistleblowing
- 1.2.15. Working Safely

1.3 Essentials Express

These courses will take around 10-15 minutes to complete. They are interactive and have questions throughout, but no graded assessment at the end.

- 1.3.1. Abuse of Dominant Position
- 1.3.2. Abuse of Position
- 1.3.3. Anti-Competitive Agreements
- 1.3.4. Corrupt Hiring Practices
- 1.3.5. Counter Terrorist Financing
- 1.3.6. Customer Due Diligence
- 1.3.7. Cybersecurity
- 1.3.8. DSE (Display Screen Equipment)
- 1.3.9. Gifts and Hospitality
- 1.3.10. Hybrid Working
- 1.3.11. IR35
- 1.3.12. Managing Homeworkers
- 1.3.13. Money Laundering and Terrorist Financing Risks of Virtual Assets
- 1.3.14. PDMR Dealing
- 1.3.15. Phishing



- 1.3.16. Preventing Radicalisation
- 1.3.17. Privacy and Electronic Communications Regulations (PECR)
- 1.3.18. Right to Work in the UK
- 1.3.19. Suspicious Activity Reporting
- 1.3.20. Third-Party Due Diligence
- 1.3.21. Tipping Off
- 1.3.22. To Pay or Not to Pay?
- 1.3.23. Working From Home

2. FCA Compliance

These courses should take around 30-60 minutes to complete, including a graded assessment.

- 2.1. AIFM Regulations
- 2.2. Appropriate Use of Communication Channels
- 2.3. BCOBS - Distance Communications
- 2.4. BCOBS - General Standards
- 2.5. Benchmarks Regulation
- 2.6. Breathing Space Regulations
- 2.7. CASS - Client Money and Client Assets
- 2.8. CeMAP Competency Refresher
- 2.9. COBS - Appropriateness
- 2.10. COBS - Client Categorisation
- 2.11. COBS - Client Communications
- 2.12. COBS - Dealing and Managing
- 2.13. COBS - Suitability
- 2.14. Complaints Handling
- 2.15. Complaints Handling for Managers
- 2.16. CONC - Consumer Credit Regulations
- 2.17. Conduct Risk
- 2.18. Conduct Risk and Treating Customers Fairly
- 2.19. Conflicts of Interest in Asset Management
- 2.20. Consumer Duty
- 2.21. Ethical Standards in Finance and Investment
- 2.22. Fair Treatment of Vulnerable Customers
- 2.23. Financial Crime Prevention
- 2.24. FX Global Code
- 2.25. ICOBS - Cancellation and Claims
- 2.26. ICOBS - Distance Communications
- 2.27. ICOBS - General Matters
- 2.28. ICOBS - Providing Information and Advising
- 2.29. Information Barriers
- 2.30. Introduction to UK Financial Regulation
- 2.31. Markets in Financial Instruments Directive II (MiFID II)



- 2.32. MCOB - Advising and Selling
- 2.33. MCOB - APRC, Shortfalls and Charges
- 2.34. MCOB - Disclosures
- 2.35. MCOB - Equity Release
- 2.36. MCOB - Financial Promotions
- 2.37. MCOB - General Standards
- 2.38. Mortgage Credit Directive
- 2.39. Mortgage Market Review
- 2.40. Operational Resilience
- 2.41. Packaged Retail and Insurance-based Investment Products (PRIIPs) Regulation
- 2.42. Payment Services Regulations
- 2.43. Personal Conflicts of Interest
- 2.44. PRA SS2/21 - Outsourcing and Third-Party Risk Management
- 2.45. Principles for Businesses
- 2.46. Prudential Regulation
- 2.47. Responsible Lending and Affordability
- 2.48. Retail Distribution Review
- 2.49. SEC Rule 15a-6
- 2.50. Senior Management Arrangements Systems and Controls
- 2.51. Swap Execution Facilities (SEFs) and Designated Contract Markets (DCMs)
- 2.52. Training and Competence
- 2.53. Treating Customers Fairly
- 2.54. UCITS
- 2.55. Whistleblowing for Managers (FS)
- 2.56. Whistleblowing in Financial Services

3. SM&CR

These courses should take around 40-60 minutes to complete, including a graded assessment.

- 3.1. Fit and Proper Assessments
- 3.2. Introduction to the Senior Managers and Certification Regime (SM&CR)
- 3.3. SM&CR Conduct Rules for Non-Executive Directors (NEDs)
- 3.4. SM&CR - Non-Financial Misconduct
- 3.5. Solo Core - Conduct Rules for Certified Persons
- 3.6. Solo Core - Conduct Rules for Certified Persons (Asset Managers)
- 3.7. Solo Core - Conduct Rules for Conduct Rule Employees
- 3.8. Solo Core - Conduct Rules for Senior Managers
- 3.9. Solo Core - Overview of SM&CR
- 3.10. Solo Enhanced - Conduct Rules for non- Certified Persons
- 3.11. Solo Enhanced - Conduct Rules for Certified Persons
- 3.12. Solo Enhanced - Conduct Rules for Senior Managers
- 3.13. Solo Enhanced - Overview of SM&CR
- 3.14. Solo Limited Scope - Conduct Rules for non-Certified Persons



- 3.15. Solo Limited Scope - Conduct Rules for Certified Persons
- 3.16. Solo Limited Scope - Conduct Rules for Senior Managers
- 3.17. Solo Limited Scope - Overview of SM&CR
- 3.18. SM&CR Banking - Conduct Rules for non- Certified Persons
- 3.19. SM&CR Banking - Conduct Rules for Certified Persons
- 3.20. SM&CR Banking - Conduct Rules for Senior Managers
- 3.21. SM&CR Banking - Overview of SM&CR