

## Regulatory Technologies (RegTech) – Exotic Series

**Objective of the Course:** Objective of the Course is to cover all aspects of Regulatory Technologies (RegTech) whereby we are covering all Regulatory Aspects, Technological Aspects from Corporate, Banks point of view. Course is covering more than 17 RegTech Technologies in detail.

**Session I: Overview of Regulatory Technologies (RegTech):** - Session would be covering about details of Regulatory Technologies whereby we would be touching down more than 17 RegTech in detail.

- Basel III
- Internal Capital Adequacy & Capital Assessment Process (ICAAP)
- Internal Liquidity Adequacy Assessment Process (ILAAP)
- BCBS 2329
- Dodd Frank (DF)
- Fundamental Review of Trading Book (FRTB)
- Global Data Prevention Regulation (GDPR)
- Markets in Financial Instruments Regulation (MiFIR)
- Securities Financing Transaction Regulation (SFTR)
- The Comprehensive Capital Analysis & Review (CCAR)
- Markets in Financial Instruments Directive II (MiFID II)
- The Foreign Account Tax Compliance Act (FATCA)
- Financial Reporting (FinRep)
- Markets Abuse Directive (MAD)

**Session II: Basel III:** - Session would be covering about detailed aspects of Basel III whereby we covering the following.

- Approaches for Credit, Market, Operational Risk
- Risk Weighted Assets (RWA) – Front, Middle, Back Office
- CCR – Approaches & Models
- Credit Valuation Adjustment (CVA)
- Collateral Management & Market Risk

**Session III: Internal Capital Adequacy & Capital Assessment Process (ICAAP):** - Session would be covering about detailed aspects of Internal Capital Adequacy & Capital Assessment Process (ICAAP) whereby we cover the following.

- Pillar 1, Pillar 2 Capital Shortfall
- Risk & Capital Limits
- Operational Limits Systems
- ICAAP Benchmarking
- ICAAP Risk Management Processes

**Session IV: Internal Liquidity Adequacy Assessment Process (ILAAP):** - Session would be covering detailed explanation of Internal Liquidity Adequacy Assessment Process (ILAAP) whereby we covering the following.

- Sound Governance of ILAAP
- Internal Review & Validation
- ILAAP Risk Management Framework
- ILAAP Risk Management Governance

**Session V: BCBS 2329:** - Session would be covering detailed explanation of BCBS 2329 whereby we would be covering the following.

- Strategy & Governance

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- Processes & Controls
- Data & Technology
- Stress Testing
- Risk Matrices & Measures

**Session VI: Dodd Frank:** - Session would be covering about detailed explanation of Dodd Frank for Corporates, Banks and also would be covering Dodd Frank from the prospective of US Banks.

- The Volker Rule
- The Consumer Protection Financial Bureau (CFPB)
- Capital and Liquidity Requirements
- The Financial Stability Oversight Council (FSOC)
- Derivatives Regulations
- Too Big to Fail

**Session VII: Fundamental Review of Trading Book (FRTB):** - Session would be covering about detailed introduction to Fundamental Review of Trading Book (FRTB) whereby we covering the following.

- IMA Liquidity Horizons
- IMA Non Modifiable Risk Factors (NMRF)
- SBA Simplifications
- SBA Securitizations
- Bank Book
- Trading Book

**Session VIII: Global Data Prevention Regulations (GDPR):** - Session would be covering about detailed introduction to Global Data Prevention Regulation (GDPR) whereby we covering the following.

- Principles of GDPR
- Individual Rights
- Accountability, Security & Breach notifications
- Regulators
- Enforcement

**Session IX: Markets in Financial Instruments Regulation (MiFIR):** - Session would be covering about detailed introduction to Markets in Financial Instruments Regulation (MiFIR) whereby we cover the following.

- Pre-Post Trade Transparency
- Exchange Platforms
- Dark Pools Trading
- Multilateral Trading Facilities (MTF)
- Organised Trading Facilities (OTF)
- Trading Venues

**Session X: Securities Financing Transaction Regulation (SFTR):** - Session would be covering about detailed introduction of Securities Financing Transaction Regulation (SFTR) whereby we cover the following:

- Repurchased Transactions
- Securities or Commodities Lending
- Securities or Commodities Borrowing
- Buy Sell Back Transactions
- Sell Buy Back Transactions

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- Margin Lending Transactions
- Total Return Swaps (TRS)

**Session XI: The Comprehensive Capital Analysis & Review (CCAR):** - Session would be covering about detailed explanation of Comprehensive Capital Analysis & Review (CCAR) whereby we cover the following:

- Dodd Frank Act Supervisory Stress Testing
- Quantitative Assessment Framework (QAF)
- Qualitative Assessment Framework (QAF)
- Large Institution Supervision Coordinating Committee (LISCC)

**Session XII: Markets in Financial Instruments Directive II (MiFID II):** - Session would be covering about detailed explanation of Markets in Financial Instruments Directive II whereby we cover the following:

- Multilateral Trading Facility (MTF)
- Organised Trading Facility (OTF)
- MiFID II – Liquidity Test
- MiFID II – Stress Testing
- MiFID II – Matched Principal Trading (MPT)
- MiFID II – Riskless Principal Trading (RPT)
- MiFID II – Broker Crossing Networks (BCN)
- MiFID II – Trading Venues

**Session XII: Foreign Account Tax Compliance Act (FATCA):** - Session would be covering about detailed explanation of Markets in Financial Instruments Directive II whereby we cover the following:

- Foreign Financial Institutions (FFI)
  - US Account
  - Financial Account
- Non-Foreign Financial Entity (NFFE)
- FATCA IRS Agreement

**Session XIII: Financial Reporting (FinRep):** - Session would be covering about detailed explanation of Financial Reporting (FinRep) whereby we cover the following:

- Common Reporting (COREP)
  - Large Exposures
  - Capital Adequacy
  - Group Solvency
  - Liquidity Ratios
  - Credit Risk
  - Market Risk
  - Operational Risk
  - Leverage Ratios
- Financial Reporting (FinRep)
  - Balance Sheet, Income Statements
  - Off Balance Sheets Exposures – Assets
  - Off Balance Sheet Exposures – Liabilities
  - Non-Financial Instrument Disclosures

**Session XIV: Market Abuse Directive (MAD):** - Session would be covering about detailed explanation of Market Abuse Directive (MAD) whereby we cover the following:

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- Market Manipulation
- Suspicious Transactions & Order Reporting's
- Pre-Trade Controls
- Post Trade Controls
- Market Abuse Directive (MAD) Reporting's
  - Periodic Testing
  - Thematic Reviews
  - Risk Response Reviews

**Session XV: Case Studies:** - Regulatory Technologies (RegTech) would be covering about Case Studies of G7 Banks like Goldman Sachs (GS), Credit Suisse (CS), JP Morgan Chase (JPM), Standard Chartered Bank (SCB), Bloomberg, Thomson Reuters covering complete implementation of RegTech in their books across all entities.

❖ **Course Coverage :** Course to get covered using Webinars , Skype Conference Calls , Audio , Video Calls. Sessions are highly interactive and participants are most welcome to ask any questions during the Course.

❖ **Course Duration :** Course duration is 70 Hrs + 2 Hrs of Complimentary Skype Call which to be taken within 3 Months of completion of the Course.

❖ **Course Material**

- Course Presentations – 100% interactive, Screenshots , Examples
- Live Financial Terminals covering Hedging Part
- Live Corporate Case Studies
- Excel Solvers

Course is 100% Practical , Software Oriented in nature. We would be covering the Course using Case Studies, Live Financial Terminals like Thomson Reuters, Bloomberg, Meta Trader 4 (MT4), Meta Trader 5 (MT5) and Excel Solvers. Course is 100% Practical in nature and covering all aspects of Trade Finance.