Securities Law & Market Conduct Training Course

Professional Development Training Course Outline

Category	Capital Markets and Investment	**Duration**	5 Days
Base Fee	$1,500 USD	**Delivery Mode**	Online / On-site Hybrid

Course Introduction

The global financial landscape is increasingly complex, demanding professionals who are well-versed in securities law, regulatory compliance, and market conduct principles. This course offers a comprehensive framework for understanding the legal, ethical, and operational aspects of securities markets, emphasizing risk management, investor protection, and regulatory enforcement. Participants will gain insights into the latest trends, case law, and practical applications of securities regulation, enabling them to navigate market challenges with confidence. The course leverages real-world examples and regulatory updates to ensure relevance, equipping learners with actionable knowledge that enhances professional credibility and organizational compliance.

With a strong focus on market conduct and legal compliance, this training integrates interactive case studies, practical exercises, and advanced regulatory analysis. Participants will explore critical issues such as insider trading, market manipulation, anti-money laundering practices, and fiduciary responsibilities. Securities Law & Market Conduct Training Course is designed to foster strategic decision-making, ethical judgment, and effective risk mitigation, preparing professionals for roles in compliance, legal advisory, investment management, and regulatory oversight. By the end of the course, attendees will have a robust understanding of securities law, enhanced analytical skills, and the tools necessary to implement industry best practices.

Programme Curriculum

Securities Law & Market Conduct Training Course

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Course Objectives

1. Develop a thorough understanding of securities law and regulatory frameworks.
2. Analyze market conduct principles and regulatory compliance standards.
3. Identify and mitigate risks associated with insider trading and market manipulation.
4. Understand anti-money laundering requirements and enforcement strategies.
5. Apply fiduciary duties and ethical standards in securities operations.
6. Evaluate legal precedents and case law relevant to financial markets.
7. Enhance decision-making in investment advisory and portfolio management.
8. Implement robust compliance programs and internal controls.
9. Navigate cross-border regulations and international securities law trends.
10. Strengthen organizational risk assessment and governance frameworks.
11. Master reporting, disclosure, and investor protection obligations.
12. Develop skills in market surveillance, investigations, and enforcement actions.
13. Utilize practical case studies to apply securities law in real-world scenarios.

Organizational Benefits

- Strengthened regulatory compliance across operations
- Reduced risk of legal infractions and penalties
- Enhanced investor confidence and market credibility
- Improved internal control and risk management frameworks
- Increased operational efficiency in compliance monitoring

- Heightened awareness of ethical and fiduciary responsibilities
- Enhanced capacity for handling complex regulatory investigations
- Development of a culture of integrity and accountability
- Improved staff knowledge and retention of best practices
- Strategic advantage in navigating cross-border financial regulations

Target Audiences

1. Compliance officers and risk managers
2. Legal advisors and in-house counsel
3. Investment and portfolio managers
4. Financial regulators and auditors
5. Brokerage and trading professionals
6. Corporate governance and internal audit teams
7. Securities analysts and research professionals
8. Financial services executives

Course Duration: 5 days

Course Modules

Module 1: Introduction to Securities Law

- Overview of securities regulation frameworks
- Legal obligations for market participants
- Key regulatory authorities and their mandates
- Case study: Landmark securities law enforcement
- Practical exercises on compliance requirements
- Review of international regulatory trends

Module 2: Market Conduct Principles

- Understanding fair dealing and market integrity
- Insider trading identification and prevention
- Ethical responsibilities of market participants
- Case study: High-profile market manipulation
- Regulatory reporting obligations

- Compliance tools for market monitoring

Module 3: Anti-Money Laundering & Fraud Prevention

- AML regulations and risk assessment
- Identification of suspicious transactions
- Role of compliance teams in enforcement
- Case study: Successful fraud mitigation
- Designing effective AML programs
- Monitoring and reporting protocols

Module 4: Fiduciary Duties & Ethics in Securities

- Principles of fiduciary responsibility
- Ethical decision-making frameworks
- Conflicts of interest management
- Case study: Breach of fiduciary duty
- Implementing internal governance policies
- Practical application exercises

Module 5: Regulatory Compliance & Enforcement

- Enforcement mechanisms and penalties
- Regulatory audits and inspections
- Reporting and disclosure requirements
- Case study: Compliance failure and legal consequences
- Risk-based compliance monitoring
- Integrating compliance into corporate strategy

Module 6: Investor Protection & Disclosure Obligations

- Transparency and disclosure standards
- Rights of investors and regulatory safeguards
- Practical compliance exercises
- Case study: Investor litigation outcomes
- Implementing disclosure frameworks
- Reporting and communication strategies

Module 7: Cross-Border Regulations & Global Trends

- International securities regulations overview
- Harmonization of cross-border compliance
- Case study: Multinational regulatory challenges
- Risk management in global markets
- Compliance coordination with foreign regulators
- Emerging trends in international market conduct

Module 8: Case Study Workshop & Practical Applications

- Comprehensive securities law scenarios
- Analysis of compliance lapses and remediation
- Group exercises on market conduct violations
- Designing internal controls and compliance plans
- Presentations of case study solutions
- Interactive discussions on regulatory strategies

Training Methodology

- Interactive lectures with real-world examples
- Case study analysis and group discussions
- Hands-on exercises in compliance and risk management
- Role-playing for ethical and fiduciary decision-making
- Workshops for practical implementation of regulations
- Continuous feedback and evaluation for skill reinforcement

Register as a group from 3 participants for a Discount

Send us an email: **info@fineskilltrainingcenter.com** **or call** *+254769199797*

Certification

Upon successful completion of this training, participants will be issued with a globally- recognized certificate.

Tailor-Made Course

We also offer tailor-made courses based on your needs.

Key Notes

a. The participant must be conversant with English.

b. Upon completion of training the participant will be issued with an Authorized Training Certificate

c. Course duration is flexible and the contents can be modified to fit any number of days.

d. The course fee includes facilitation training materials, 2 coffee breaks, buffet lunch and A Certificate upon successful completion of Training.

e. One-year post-training support Consultation and Coaching provided after the course.

f. Payment should be done at least a week before commence of the training, to FINESKILL TRAINING CENTER account, as indicated in the invoice so as to enable us prepare better for you.

Upcoming Scheduled Sessions

Start Date	End Date	Location	Price
07 Sep 2026	11 Sep 2026	Physical	$1,500
14 Sep 2026	18 Sep 2026	Physical	$1,500
21 Sep 2026	25 Sep 2026	Physical	$1,500
28 Sep 2026	02 Oct 2026	Physical	$1,500
05 Oct 2026	09 Oct 2026	Physical	$1,500
12 Oct 2026	16 Oct 2026	Physical	$1,500
19 Oct 2026	23 Oct 2026	Physical	$1,500
26 Oct 2026	30 Oct 2026	Physical	$1,500

Ready to enroll or request a customized program? Book online or contact us:

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