

Capital Markets Compliance Certification Programme

A certification programme by



September - December 2024



**EURONEXT
CORPORATE SERVICES**

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Academy – Euronext Group

At Academy we aim at sharing **capital markets expertise** by turning it into world-class training courses and programmes.

Our programmes reflect the evolution and trends of **financial markets and their eco-systems**.

Key assets of our learning centre are our centrality in capital markets, and our **internal and external faculty**, whose contributors are drawn from practitioners, academics, advisors and financial market specialists.

As an Exchange system, being at the centre of financial markets, we understand not just what happens now, but also what's changing - so we can design our courses to equip you for the world of today and tomorrow.

An accredited Management System Certificate

Academy meets the management system standards UNI EN ISO 9001:2015, sector EA:37 since 2007.

The accreditation guarantees internationally recognised quality service standards and allows companies to apply for public funding to finance individual and company training projects.



Capital Markets Compliance Certification Programme overview

Background

In today's ever-changing environment, listed companies, banks and investment firms need to equip themselves with new standards of integrity to manage, mitigate and prevent risk.

The Compliance and Integrity Managers operate in the common space between business ethics and risk management, focusing on the processes and behaviours of the individuals (in relation to capital markets, government bodies and within the company itself) aimed at preventing and reducing risks (legal, financial, reputational) arising from the violation of laws and regulations (national and international), company standards and social norms.

The Certification Programme includes **concurrent sessions for banks** and **investment firms** on the one hand, **listed companies** on the other.

Benefits of attending and key take-aways

The Academy brand-new certification programme for Compliance Officer aims to:

- provide the most effective mindset necessary to deal with an unlimited number of laws, rules and regulations with a multidisciplinary approach
- review the regulatory framework for listed companies, banks and investment firms
- provide the knowledge and the tools to draft and implement an effective compliance programme in respect of an integrated Governance, Risk and Compliance (GRC) approach.

Who should attend

Target audience

- Compliance Officer
- Integrity Manager
- Controller
- Auditor
- Junior Analyst
- Consultant in the Controls perimeter

of **listed companies, banks** and **investment firms**.

Course Tutors

Academy experts

Logistics

Learning environment

The Mastercourse is a blended training programme.

The **Kick off** and the **first module of the course** will be carried out **in person in Milan at Euronext Offices**. (More details will be shared in due course).

The final Examination will be attended online on the Academy – Euronext Group elearning platform.

Learning material

The handouts and course material will be provided to the delegates in pdf format via the Academy elearning platform after each training session.

Certified Compliance Officer | Academy – Euronext Group

At successful completion of the online examination, delegates will be awarded the '**Certified Compliance officer**' by Academy – Euronext Group.

Course Overview

Module 1 - Plenary

Kick off in person in Milan

24 September 2024 | 9:30 – 11:00

Compliance 3.0:

Covering Mindset and Culture of a Compliance Organisation

- Introduction and Background Compliance
- Understanding the (international) regulatory landscape
- Basics for a Compliance charter
- Ethical considerations in compliance management and compliance culture
- ISO 37301:2021 - Compliance management systems (CMS): benefits of the International Standards

11:00 | Coffee Break

11:15

Setting up a structure and effective Compliance Department

- Deeper dive in the Target Operating Model
- Ability to assess risks, and translate them into policies and procedures
- The ideal Compliance Department structure in different sizes of companies

13:00 | Networking Lunch

14:00

The role of the Compliance Officer and/or Integrity Manager:

- Designing an effective compliance program including activities, deliverables and stakeholder management
- Drafting compliance policies and procedures, including key basics to draft an efficient policy framework
- How to act in the role of Compliance professional / Integrity Manager and as Trusted person

16:00 | Coffee Break

16:15

Practical session assessing individual compliance frameworks/draft documentation

17:00 | Close of day 1

Speakers for day 1:

Michelle Fisser

President

VCO, the Association for Compliance Professionals

Olga Elsenga

Head of Legal

ClearBank Europe

Module 1 - Plenary

In person in Milan

25 September 2024 | 9:30 – 11:30

The new GRC paradigm (Governance, Risk & Compliance)/Corporate Governance: challenges and opportunities

- Handling the interdependencies among governance, risk and compliance (GRC)
- Setting up an integrated internal control system
 - The 3 levels of control (first, second third line according to IIA Model)
 - Embed the approach in internal framework such as procedure manual
 - Understand testing and monitoring
- The relationship with internal stakeholders and alignment programs:
 - Internal Audit
 - The Supervisory Board

Michelle Fisser

President

VCO, the Association for Compliance Professionals

Olga Elsenga

Head of Legal

ClearBank Europe

11:30 | Coffee Break

11:45

Risk Management and Risk Governance at Euronext Group

- Risk Management: A Strategic Imperative for Success
- Risk Governance Essentials: Risk Management Framework in Focus
- Understanding Risk: Definition, Risk Management Process, Risk Appetite
- Euronext Group Current Risk Awareness Picture
- Evolving our Risk Management practices to adapt to Regulatory Changes

Elisabetta Rocca

Head of Compliance & Risk

Euronext Group

1:00 | Close of day 2

Module 2 – Plenary

Online

9 October 2024 | 9:30 – 12:30
Refresher of the regulatory framework for integrity risks and follow up on Risk assessment

- Integrity risk management
- Financial Economic Crime
- Bribery and Corruption
- EU Whistleblowing Directive and translation to local member states
- Conflicts of Interest

Group work and discussion zone

- Identifying integrity risks
- Assessing risks, scenario's
- Mitigating integrity risks based on Risk appetite and Risk tolerance
- Sharing Best practises
- Practise and discuss examples

Michelle Fisser

President

VCO, the Association for Compliance Professionals

Member of ASML

12:30 | Close of day 3

10 October 2024 | 9:30 – 12:30

Refresher of the regulatory framework for integrity risks

- CSRD
- CSDDD

Group work and discussion zone

Paolo Perego

Professor of Accounting

Faculty of Economics and Management

Free University of Bozen-Bolzano

12:30 | Close of day 4

11 October 2024 | 9:30 – 12:30

Refresher of the regulatory framework for integrity risks

- GDPR – Data Privacy

- Info and cyber Security: overview of the DORA Regulation

Paulo Carvalho Martins

Group CISO

Euronext

Group work and discussion zone

12:30 | Close of day 5

Module 2 – for Listed companies

Online

15 October 2024 | 9:30 – 12:30

Latest updates on:

- MAR

Pernille Woxen Burum

Specialist Partner

BAHR

Group work and discussion zone

12:30 | Close of day 6

Online

17 October 2024 | 9:30 – 12:30

Latest updates on:

- MiFIR
- EMIR

Group work and discussion zone

Tim Alferink

Partner

Baker & McKenzie Amsterdam N.V.

12:30 | Close of day 8

Module 2 – Banks and Investment Firms

Online

16 October 2024 | 9:30 – 12:30

Latest updates on:

- MAR
- MiFID II
- Financial Crime

Group work and discussion zone

Edoardo Guffanti

Partner

FIVERS - Studio Legale e Tributario

Camilla Fornasaro de Manzini

Senior Associate

FIVERS - Studio Legale e Tributario

12:30 | Close of day 7

Module 3 - Plenary

Online

24 October 2024 | 9:30 – 12:30 Compliance Monitoring and Reporting

- The needs for a Compliance plan and Compliance Monitoring plan
- Conducting compliance audits and assessments
- Establishing monitoring processes to detect compliance issues
- Reporting and escalation compliance findings and violations internally and externally

Group work and discussion zone

- How to handle Supervisors or other investigations?
- How does good testing look like?
- Practical exercise of monitoring and testing
- Assessment on Compliance reports

Michelle Fisser
President
VCO, the Association for Compliance Professionals

Intesa SanPaolo/RaboBank/Teva

12:30 | Close of day 9

25 October 2024 | 9:30 – 12:30

Promoting Ethical Behaviour in the organisation

- Handling ethical dilemmas and conflicts of interest
- Designing and delivering effective compliance training programs
- Raising awareness of compliance issues among employees and stakeholders
- Evaluating the effectiveness of training initiatives

Group work and discussion zone

- How to apply the model?
- Moresprudence

Michelle Fisser
President
VCO, the Association for Compliance Professionals

12:30 | Close of day 10

Module 4 - Plenary

Online

7 November 2024 | 9:30 – 12:30

International Compliance considerations and implications

- Managing cross-border compliance
- Understanding global compliance standards and requirements
- Challenges and strategies for international compliance and integrity management
- Best Practises
- WRAP UP of complete Course
High Lights and Key take aways

Discuss preparation for Online examination

Michelle Fisser

President

VCO, the Association for Compliance Professionals

12:30 | Close of day 11

Final Online Examination

Online

3 December 2024



Academy

Comprehensive, quality education is fundamental for the development and growth of the economy. As part of a pan-European market infrastructure at the centre of European capital markets, Academy's main objective and activity is turning capital markets expertise into world-class training courses and programmes and making them relevant to the wider financial community of today and of tomorrow. Key Academy assets are our centrality in capital markets, and our internal and external faculty, made up of practitioners, academics, advisors and financial market specialists. Interactive and innovative learning methods make all Academy programmes an inspiring experience.

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