

## **Regulating Securities Markets : Fundamentals ( E – learning)**

**Date:** 1 – 30 June 2017

**Venue:** Online

**Day:** 6 weeks

### **Background**

While many economies in the MEFMI region are “bank-led”, securities markets also provide an alternative avenue to raise capital for business enterprises. Indeed in some countries the non-bank financial sector entities could play a more significant role in the financial sector due to their larger asset base than deposits taking banking institutions. Building and maintaining confidence in the markets as well as protecting investor’s interest is a primary concern for regulators. Therefore the regulation of stock exchanges, listed entities and firms that operate on those markets is a key aspect for financial regulators.

The regulators of securities markets exercise oversight on listing arrangements, capital markets where trading takes place, the initial and continuing requirements for an entity to be listed. It is also vital for regulators to maintain an understanding of unfolding trends impacting the Institutional investors, retail investors like Collective investment schemes as well as the trading and settlement infrastructure.

### **Objectives**

- To familiarise participants with
  - securities markets business entities
  - Securities markets regulatory models
  - Regulatory global best practice and outlook for securities markets, and
  - Regional trends and challenges

### **Course Content**

- Content will cover:
  - the main regulatory models for Securities markets,
  - the key aspects of a functional securities market
  - the key provisions as stipulated by Global securities markets regulatory associations, (IOSCO standards from IOSCO, IFRS from IFAC)
  - The rationale and impact of Investor education drives and
  - Regulatory due diligence for licensees (including broker dealers, stock exchanges, listed companies, asset management companies.)

### **Target Group**

Junior to middle level professionals responsible for securities markets at the respective regulatory institutions.