

META Financial Education

Transformative learning made simple!



Financial Markets, Compliance & Regulation, Personal Development

We are a team of learning experts. Passionate about learning.

We help our clients **learn about markets**, the ever-changing and complex **regulatory landscape** and how to achieve their personal best, manage their careers and **develop their people**.

Trusted By



Market Abuse Workshop Course Overview

Behaviour such as insider dealing and market manipulation can amount to market abuse. Firms must have safeguards in place to identify and reduce the risk of market abuse and other financial crime. And yet we still continue to see examples plaguing the industry. This workshop is about much more than just MAR; we examine the full landscape of market abuse; what it is, what it means and why it matters.

Topics

- The Market Abuse Regulation
- Main offences
- The link between MAR & Competition law
- Insider dealing
- Manipulating transactions
- Manipulating devices
- Market Manipulation
- Dissemination
- Misleading behaviour and distortion
- Abuse Squeezes
- Wash Trades
- Painting the tape
- Phishing
- Ping Orders
- Marking the close
- Pump and Dump
- Layering and Spoofing
- Trash and Cash
- Colluding in the after-market of an IPO

Format

Delivery options	<ul style="list-style-type: none"> • Classroom session (3 hours) • Virtual classroom (3-hour webinar) • eLearning (design upon request) • In-house
Option 1: Classroom	You attend alongside other market participants £495
Option 2: Virtual classroom	You attend alongside other market participants via an interactive online classroom £395
Option 3: In-house	This course can be tailored specifically for your organisation and delivered at your offices, offering a cost effective solution for more than 5 employees.

Course Details

Market Abuse at-a-glance

- The Market Abuse Regulation (MAR) was introduced in July 2016 and the FCA has recently imposed some big fines on high-profile names in financial services
- In this workshop learn about:
 - A recap on MAR
 - Practical considerations and apply MAR
 - Case study analysis
- The objective is to define what constitutes market abuse, what does it really mean and why does it matter
- This workshop considers the challenges of managing market abuse and how to meet the regulatory expectations

Who should attend?



Compliance professionals who want to further their understanding of the market abuse landscape and ensure they are positioned to detect and avoid future issues



Investment and front-line staff at regulated firms who act as the first line of defense



Anyone responsible for the monitoring, supervising or detection of unusual or market abuse transactions within their organisation

What's covered?	
Content	Exercises & application
<ul style="list-style-type: none"> • A recap on the Market Abuse Regulation (MAR) <ul style="list-style-type: none"> ➤ MAR; What is it? What does it mean? Why does it matter? ➤ What it covers ➤ Main offences ➤ What you need to know ➤ The link between MAR, Competition law and Industry standards 	
<ul style="list-style-type: none"> • Key focus areas of MAR <ul style="list-style-type: none"> ➤ Insider dealing (PAD and why it's vital to the prevention) ➤ Improper disclosure ➤ Manipulating transactions ➤ Manipulating devices ➤ Market Manipulation ➤ Dissemination ➤ Misleading behaviour and distortion 	<ul style="list-style-type: none"> • Group Exercise - insider information exercise; what is insider information • Group Exercise - define best execution
<ul style="list-style-type: none"> • Forms of Market Manipulation <ul style="list-style-type: none"> ➤ Prohibitions ➤ Benchmarks ➤ Colluding ➤ Market open/close ➤ Profiting from voicing an opinion ➤ Insider Trading Investigations ➤ Best Execution Considerations - a reminder ➤ Pre and post-trade considerations 	
<ul style="list-style-type: none"> • Indications of execution market manipulations <ul style="list-style-type: none"> ➤ Abuse Squeezes ➤ Wash Trades ➤ Painting the tape ➤ Phishing ➤ Ping Orders ➤ Marking the close ➤ Pump and Dump 	<ul style="list-style-type: none"> • Group Exercise - examples of market manipulation

<ul style="list-style-type: none"> ➤ Layering and Spoofing ➤ Trash and Cash ➤ Colluding in the after-market of an IPO ➤ Placing orders with no intention of executing 	
<ul style="list-style-type: none"> • Case study analysis <ul style="list-style-type: none"> ➤ Layering ➤ Disclosure ➤ Fixed Income market manipulation ➤ Marking the close 	<ul style="list-style-type: none"> • Interactive Q&A using voting buttons
<ul style="list-style-type: none"> • Summary <ul style="list-style-type: none"> ➤ ESMA reporting on MAR ➤ FMSB key findings ➤ Suspicious transaction and order reporting ➤ Competition law considerations 	

The “META” approach to Market Abuse ...what makes our course unique

- Understanding market abuse is about so much more than a recap of MAR, we focus on helping you to understand what you need to know and what you need to do to stay compliant
- We use up-to-date industry case studies to focus on what happened and how you can learn from these
- Packed with practical and insightful takeaways on how to review and assess your current practices

Meet Your Trainer:



Matt Fotherby

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Financial Markets,
Compliance & Regulations

Matt is our Founder and a passionate trainer.

His interest in education stems from his 10 years as an Account Executive looking after Global Hedge Fund and Asset Management clients. Matt quickly discovered that many of the financial market topics that his clients wanted to learn about were the exact same topics that he was striving to develop a better understanding of himself.

This led Matt to join the coveted Financial Markets Education team at UBS, a unique in-house education team that specialised in running a curriculum of financial market and product classes for both UBS employees and clients. Matt was responsible for building out the client offering; managing programs, creating content and teaching courses.

As financial markets entered a significant period of regulatory change Matt pivoted to take his client experience and market knowledge to focus on Regulations and Compliance topics.

Matt leverages his time spent as an attendee of training and fuses this with his deep markets knowledge and regulatory expertise to deliver engaging training designed to decipher complexity and equip learners with the knowledge they need to remain compliant and competent within their roles.

Matt leads on our Compliance & Regulations offerings.