

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



MiFID II Knowledge & Competency for Information Providers

Anyone providing information to clients must have a certain level of understanding about the policies and services they work with. ESMA requires that staff who provide information to clients as per the guidelines should hold an 'appropriate qualification'. So, have you missed this? Thought MiFID II was embedded and nothing left to do...think again.

Topics

- Advice givers
- Information providers
- Objective information
- Knowledge & competence
- Financial Markets Overview
- Market players
- Capital structure
- Equity Products & Markets
- Company formation
- Issuing shares
- Equity exchanges and indices
- Types of equities
- Equity pricing
- Fixed Income Products & Markets
- Bond features
- Bond yield curves
- Bond spreads
- Equities vs Bonds
- Foreign Exchange Products & Markets
- FX pricing
- FX drivers
- The Fund Industry
- ISAs, Pensions & Investments
- Taxation
- Financial Crime

Format

Delivery options	<ul style="list-style-type: none"> • Classroom session (6 hours) • Virtual classroom (3 x2 hour webinar) • eLearning (design upon request) • In-house
Option 1: Classroom	You attend alongside other market participants £695
Option 2: Virtual classroom	You attend alongside other market participants via an interactive online classroom £595
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

MiFID II K&C at-a-glance

- If you have employees who are not giving 'advice' to clients but who have client contact about your products and services, then this course is for your firm
- Collectively these employees are known as Information Givers and will include many of your support employees such as desk assistants, client support teams, research, sales, legal and even brokers/dealers in some organisations
- This one-day workshop will equip your firm and employees with the necessary knowledge and competency required as part of MiFID II (ESMA guidelines)
- Beyond the regulatory requirement this course is a great opportunity to upskill, focusing on:
 - The key workings of financial markets, products and their risk characteristics
 - The impact of macroeconomic events on the value of financial products
 - Understand performance indicators
 - Review the current regulatory landscape and understand the key issues relating to market abuse and AML

Who should attend?



This course is ideal for those who do not hold an industry qualification covering the necessary knowledge and competence requirements but are required to do so as part of MiFID II (ESMA guidelines)



Anyone who is responsible for maintaining training and competency as part of MiFID II or SMCR requirements and requires a train-the-trainer course



Anyone who requires a concise but systematic overview of UK financial services and regulations

What's covered?	
Content	Exercises & application
<ul style="list-style-type: none"> Understand the key characteristics, risk and features of those investment products available through the firm, including any general tax implications and costs to be incurred by the client in the context of transactions. Particular care should be taken when giving information with respect to products characterised by higher levels of complexity 	<ul style="list-style-type: none"> Review and recap; what do you know already. Asset class quiz
<ul style="list-style-type: none"> Understand the total amount of costs and charges to be incurred by the client in the context of transactions in an investment product, or investment services or ancillary services 	<ul style="list-style-type: none"> Knowledge check questions
<ul style="list-style-type: none"> Understand the characteristics and scope of investment services or ancillary services 	<ul style="list-style-type: none"> Knowledge check questions
<ul style="list-style-type: none"> Understand how financial markets function and how they affect the value and pricing of investment products on which they provide information to clients 	<ul style="list-style-type: none"> Bond pricing exercise Risk vs Reward, yield curve exercise
<ul style="list-style-type: none"> Understand the impact of economic figures, national/regional/global events on markets and on the value of investment products on which they provide information 	<ul style="list-style-type: none"> Knowledge check questions
<ul style="list-style-type: none"> Understand the difference between past performance and future performance scenarios as well as the limits of predictive forecasting 	
<ul style="list-style-type: none"> Understand issues relating to market abuse and anti-money laundering 	<ul style="list-style-type: none"> Laundering exercise
<ul style="list-style-type: none"> Assess data relevant to the investment products on which they provide information to clients such as Key Investor Information Documents, prospectuses, financial statements, or financial data 	

<ul style="list-style-type: none">• Understand specific market structures for the investment products on which they provide information to clients and, where relevant, their trading venues or the existence of any secondary markets	
<ul style="list-style-type: none">• Have a basic knowledge of valuation principles for the type of investment products in relation to which the information is provided	
<ul style="list-style-type: none">• Optional end of course competency assessment	

The "META" approach to MiFID II K&C...what makes our course unique

- An engaging approach to understanding financial markets, regulations, legislation and conduct that underpin financial markets in the UK. We blend industry content with practical and applied delivery methods.
- This course can operate at the level that best suits you, the attendee! Acting as a fundamental introduction or building on your existing knowledge we take a dynamic approach to how to deliver this course.
- Packed with practical exercises, quizzes and takeaways to ensure you can immediately deploy your newfound knowledge and demonstrate MiFID II K&C competency. We can even include an end of course assessment!

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.