

## DFSA Conduct of Business Rules Overview

This session will provide attendees with a high level understanding of the DFSA Conduct of Business Rules and the impact they have on their duties and their firm.

### Course Highlights

- Workshop style training course
- Interactive learning environment
- Maximum of 16 attendees per course
- Taught by a trainer who previously worked for the DFSA
- Real-life examples used
- Constitutes 3 hours of learning for the CISI CPD scheme

---

### Who should attend?

The course is relevant for 'front' and 'back office' staff in DFSA regulated firms.

---

### Course details

- The Principles for Business, including Responsible Conduct
- Scope of Business
- Restrictions on business
- Client classification and DFSA expectations
- Client relationships including Customer Complaints Procedures
- Financial promotions
- Client agreements, Confirmations, Statements and Client assets

- Marketing of Domestic and Foreign Funds
- 

## ▸ Learning outcomes

After attending this session, attendees will be able to:

- Demonstrate an understanding of the application of the COB rules
  - Describe the main Principles for Business, including:
    - the scope of the firm's business
    - business restrictions
    - categories of clients
    - financial promotions
  - Assess the firm's current policies and procedures relating to compliance with the COB Rules
  - Conduct business in full compliance with the DFSA COB Rules
- 

## ▸ Delivery Methods [available methods depend on the course]

### Public Course

If you only have a few staff who require a particular training course then why not send them on one of our public courses. We insist on limiting the number of attendees on our public courses to facilitate an interactive training environment. This ensures that there's always a chance to put your questions to a genuine expert, as well as to share experiences with other delegates.

Take a look at our [Future Dates/Booking](#)

### Bring In-House

If you have a number of people who require the training, you might find it more

economical to have the training at your offices. Our trainers are armed with all the equipment and materials necessary. All you need to do is supply the room, and after the course, we'll send your certificates of attendance in the post.

In addition in-house courses can be tailored to meet the precise needs of your business. This could mean tailoring a course for a business unit; combining elements of different courses to match your exact specification; or producing a course from scratch.

### Enquiries

Please complete [the following form](#) and we'll get in touch to discuss your requirements in detail.

### Off-site Training

Our training facilities can also be used for company 'off-site training'. So if you want to have an 'in-house style' training session away from your own offices, or you simply don't have the facilities, then you can use ours.

### Enquiries

Please complete [the following form](#) and we'll get in touch to discuss your requirements in detail.

---

## ▀ Trainers

### Barry O'Brien

Barry graduated with an MSc from University College Cork and began his career teaching for 3yrs before moving into Lecturing. Barry has been working in financial services since 2005 with AIB Group and held various roles prior to specialising in Compliance Strategy. His role involved working with the Central Bank and Regulator in critically reviewing and agreeing numerous regulation consultation papers. He has managed various AML and Conduct of Business training programs within the banks retail branch network, while also designing and delivering quarterly compliance training to the banks senior executives. In addition Barry is a Qualified Financial Adviser (QFA) and a member of the Institute of Bankers. Barry has joined the CCL Academy as a trainer for the AML and Compliance training programs, while also provide ongoing support to the consultancy division.

---

