



TRAINING PROGRAMMES // 2021 CATALOGUE

Aquest delivers technical on-site (online) training to the funds industry, and industry relevant on-site (online) training to the financial services industry in three distinct ways:

1. Self directed learning
2. Micro Learning
3. Comprehensive training for the firm

1. Self Directed Learning Programmes

→ [AquestAcademy.com](https://www.aquestacademy.com)

1. Funds Masterclass is €799/year per person
2. UCITS Eligible Assets Masterclass is €499/year per person
3. Fitness & Probity Masterclass is €499/year per person

Purchased online at www.aquestacademy.com

2. Micro Learning Sessions

45-Min, Live, Interactive Micro Learning Programmes are available with room for up to 100 participants. €409 per session.

→ [Aquest.ie/Shop](https://www.aquest.ie/shop)

A complete list of Micro Learning Programmes available are found online over at [Aquest.ie/shop](https://www.aquest.ie/shop), as well as in this Catalogue on pages 5-8

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3. Comprehensive Training for the Firm

More comprehensive training programmes for the firm are available. These typically run from a full ½ day up to 10+-week programmes.

Booked through anne@aquest.ie



Industry Training Catalogue // Alphabetical Order

Industry Training Programmes	Duration
Breaches: Breach it Better: Proactive Edition	Half Day Workshop
Breaches: Breach it Better: Reactive Edition	Half Day Workshop
Engaging the Regulator Effectively: Proactive edition	Full Day Workshop
Engaging the Regulator Effectively: Reactive edition	Full Day Workshop
Fitness & Probity: Firm's Perspective	Half Day Workshop
Fitness & Probity: Individual's Perspective	Half Day Workshop
Performing the Organisational Effectiveness Role: Firm perspective. Individual perspective.	Half Day Workshop
Preparing for on-site inspections.	Half Day Workshop
PRISM: Changing from Low to Medium Low.	Half Day Workshop
PRISM: First time doing PRISM meeting with CBI	Half Day Workshop
PRISM: Proactive PRISM looks like this.	Half Day Workshop
Regulator's expectations of the Designated Persons role.	Full Day Workshop
Risk Mitigation Programmes: Proactive edition	Half Day Workshop
Risk Mitigation Programmes: Reactive edition	Half Day Workshop
SEAR - Industry Training	Full Day Workshop
SEAR - Industry Overview	Half Day Workshop
SFTR - For the Funds Industry	Half Day Workshop



Technical Training Catalogue // Alphabetical Order

Technical Training Programmes - Funds Industry	Duration
AIFMD - Admin & Depo Edition	Two Day Workshop
AIFMD - ManCo Edition	Two Day Workshop
AIFMD - Investment Managers Edition	Two Day Workshop
CP86 - Admin & Depo Edition	Half Day Workshop
CP86 - ManCo Edition	Full Day Workshop
CP86 - Investment Managers Edition	Half Day Workshop
NEW ESG - Understanding the ESG regime and how it impacts investment funds	Half Day Workshop
ETFs - Understanding ETFs as an Industry	Full Day Workshop
ETFs - Admin & Depo Edition	Full Day Workshop
ETFs - ManCo Edition	Full Day Workshop
ETFs - Investment Managers Edition	Full Day Workshop
ETFs - Advisors Edition	Full Day Workshop
EMIR - Funds Industry Edition	Half Day Workshop
Financial Stability and Investment Funds - ManCo Edition	Half Day Workshop
Financial Stability and Investment Funds - Inv. Manager Edition	Half Day Workshop
Financial Stability and Investment Funds - Admin/Depo Edition	Half Day Workshop
Fund Admin Outsourcing - Admin Edition	Half Day Workshop
IIA - Fund Admin Edition	Full Day Workshop
ICAV - Investment Managers Edition	Full Day Workshop
ICAV - ManCo Edition	Full Day Workshop
ICAV - Advisor Edition	Full Day Workshop
NEW Liquidity Risk Management for Investment Funds - Regulatory Requirements and Practical Planning	Full Day Workshop
MiFID II - As an industry Edition	Half Day Workshop
MiFID II - Investment Managers Edition	Half Day Workshop



Money Market Funds - Understanding MMFs as an industry.	Full Day Workshop
Money Market Funds - Admin & Depo Edition	Full Day Workshop
Money Market Funds - ManCo Edition	Full Day Workshop
Money Market Funds - Investment Manager Edition	Full Day Workshop
Money Market Funds - Advisors Edition	Full Day Workshop
Performing the OE Role - ManCo Edition	Half Day Workshop
PRIPS - For the Funds Industry	Half Day Workshop
Regulation of Depos - Depo Edition	Full Day Workshop
Regulation of Distribution of Funds - ManCo Edition	Half Day Workshop
Regulation of Distribution of Funds - Inv. Manager Edition	Half Day Workshop
Regulation & Operation of Fund ManCos - ManCo Edition	Two Day Workshop
Regulator's Expectations of the DP Role - ManCo Edition	Full Day Workshop
Risk Mitigation Programmes - Industry Perspective	Half Day Workshop
SFTR - For the Funds Industry	Half Day Workshop
Structure of Irish and European Rulebooks - Advisor Edition	Full Day Workshop
Structure of Irish and European Rulebooks - In-house Legal Edition	Full Day Workshop
Structure of Irish Authorised Funds - Investment Managers Edition	Full Day Workshop
Structure of Irish Authorised Funds - ManCo Edition	Full Day Workshop
UCITS - Admin/Depo Edition	6 x 2 hour Sessions
UCITS - ManCo Edition	6 x 2 hour Sessions
UCITS - Investment Managers Edition	6 x 2 hour Sessions



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Micro Learning Programmes Available	Syllabus
UCITS 101	<ul style="list-style-type: none"> ● UCITS – History and Structure ● Summary of UCITS provisions <ul style="list-style-type: none"> ▪ Scope & Authorisation ▪ Eligible assets rules ▪ Investment restrictions ▪ Mergers & Master/feeders ▪ General ▪ Passporting ▪ Transparency
Regulation of Depositories	<ul style="list-style-type: none"> ● History ● Summary of Content ● Review of rules
UCITS Investment Policies	<ul style="list-style-type: none"> ● Short selling ● Derivatives ● Leverage
UCITS Eligible Assets	<ul style="list-style-type: none"> ● Eligible assets in detail ● Investment restrictions in brief ● Other points of note <ul style="list-style-type: none"> ○ Structured Financial Instruments ○ ETFs

UCITS Investment Restrictions	<ul style="list-style-type: none"> ● UCITS investment restrictions in detail ● Eligible assets in brief
Regulation of ManCos	<ul style="list-style-type: none"> ● Review of regulatory requirements applicable to mancos under UCITS and AIFMD <ul style="list-style-type: none"> ○ Scope ○ Exemptions ○ Permitted activities ○ Minimum capital requirements ○ Prudential rules ○ Remuneration ○ Passporting
Operation of management companies - Background and approach to CP86	<ul style="list-style-type: none"> ● History of manco regulation ● Irish approach to 'manage' ● Why CP86? ● Central Bank's approach to CP86 ● Developments regarding substance and resources ● Central Bank's CP86 Inspection Process – what it means for all ManCos
Operation of management companies - Content of CP86	<ul style="list-style-type: none"> ● Rules <ul style="list-style-type: none"> ○ 6 managerial functions ○ Organisational Effectiveness role ○ Location rule ○ Retrievability of records ● Guidance <ul style="list-style-type: none"> ○ Part I – Delegate oversight ○ Part II – Organisational Effectiveness role ○ Part III – Directors' Time Commitments ○ Part IV – Managerial functions ○ Part V – Operational issues ○ Part VI – Procedural matters ● Manco ecosystem
Operation of management companies - Carrying out Designated Person role in practice	<ul style="list-style-type: none"> ● Designated Person letter of appointment ● Allocation of regulatory responsibilities to Designated Persons ● Reporting by delegates to Designated Persons ● Frequency of reporting and oversight ● Responsibility for policies and procedures ● Reporting by Designated Persons to the board ● Treatment of information received by Designated Persons

<p>Dealing more effectively with the Central Bank</p>	<p>Central Bank organisation</p> <ul style="list-style-type: none"> • General information • PRISM / Central Bank’s approach to authorisation and supervision <p>Common mistakes when dealing with the Central Bank</p> <ul style="list-style-type: none"> • Thinking like a regulator • Common mistakes • Tips for more effective engagement <p>Frustrations when dealing with the Central Bank</p> <p>Submissions</p> <ul style="list-style-type: none"> • Key elements to include in submissions to the Central Bank
<p>AIFMD in a nutshell</p>	<p>Key provisions:</p> <ul style="list-style-type: none"> • Scope • Exemptions • Permitted activities • Liquidity management • Remuneration rules • Passporting
<p>The Organisational Effectiveness Role in focus</p>	<ul style="list-style-type: none"> • The policy intention behind the Organisational Effectiveness Role • Carrying out the Organisational Effectiveness Role in practice
<p>How CP86 affects Fund Administrators and Depositories</p>	<ul style="list-style-type: none"> • Background to CP86 • Contents of CP86 rules and guidance • 10 key impacts of CP86 on Fund Administrators and Depositories
<p>Fund Boards interactions with ManCo Boards</p>	<ul style="list-style-type: none"> • Key regulatory considerations for externally managed investment companies • Central Bank guidance for externally managed investment companies • Best practices for Fund Boards
<p>Breach It Better</p>	<ul style="list-style-type: none"> • The Central Bank’s view of enforcement • How the Central Bank identifies breaches • Self-reporting: Tempted not to? • Risk Mitigation Programmes • The Central Bank’s enforcement guidance
<p>EMIR and</p>	<ul style="list-style-type: none"> • Background to EMIR and SFTR



SFTR: Oversight of delegated reporting	<ul style="list-style-type: none"> • Summary of EMIR • Summary of SFTR • Oversight of delegated reporting
Fund Administrator Outsourcing	<ul style="list-style-type: none"> • Background to Central Bank's approach to outsourcing • Source of outsourcing rules • Central Bank's guidance on Fund Administrator outsourcing
Fitness & Probity and SEAR	<ul style="list-style-type: none"> • Background to F&P regime • Approach of F&P regime • Central Bank's guidance on F&P • Background to SEAR • Key features of SEAR
Investment Funds 101 - What is a fund?	<ul style="list-style-type: none"> • How are funds structured • Investment strategies • What funds invest in • Who invests in funds • Advantages of funds • Main fund jurisdictions • Role of funds in the financial system
Investment Funds 101 - Legal structures under Irish law	<ul style="list-style-type: none"> • Investment companies • ICAVs • Unit trusts • Common Contractual FUnds • Investment Limited Partnerships
Investment Funds 101 - Regulation of Funds	<ul style="list-style-type: none"> • Why regulate funds • How funds are regulated • Who regulates funds • Authorisation process • How the Central Bank supervises funds