PUBLIC COURSE

RegTech: Impact, Implications, and Adoption

THE REGULATORY LANDSCAPE AND FINTECH'S RESPONSE

Overview

Regulatory Technology, also known as RegTech, is changing the landscape for regulatory response and implementation in the financial services industry. This three-day seminar will provide participants with an in-depth understanding of RegTech, its business models, options for deploying the technology, opportunities, and risks.

Who Should Attend?

Financial professionals who want to accelerate their knowledge of financial technology and have a particular interest in building a RegTech or FinTech solution; and professionals who have a need for a RegTech or FinTech solution.

Course Benefits

BY THE END OF THIS SEMINAR, YOU WILL BE ABLE TO:

» Describe the history and impact of financial technology (FinTech)

» Discuss the general FinTech landscape and Regulatory Technology (RegTech) as a segment of that landscape.

» Explain the application of RegTech technology using examples of case studies of successful implementations.

» Identify the key players of RegTech and their market advantages.

» Assess the attributes of various business models.

» Address regulatory challenges with a RegTech solution

» Develop a framework and strategy to build (or buy) your own RegTech solution.

PROGRAMME LEVEL	PREREQUISITES	ADVANCED PREPARATION
Intermediate to Advanced	None	None

Course Agenda

MODULES	TOPICS	
1 FinTech History	What is FinTech?	
	FinTech history	
	RegTech – A Response to the Regulatory Landscape	
2 Crisis Response	The 2008 Financial Crisis	» Millennials are digitally native » Millennials who will inherit trillions
	Global Regulatory Themes	
	Market Structure: Tear Down and Reinvent	
	Dodd-Frank	
	Volcker Rule	
	Basel III	
	EMIR	
	Mifid II	
	BCBS IOSCO Margin Reform	» Mobile development » Artificial intelligence » Financial APIs » Cloud » Cybersecurity, biometrics » Fractional share ownership » New financial instruments
3 CCP Technology	Risk Management Technology	
	Post-trade RegTech Business	
4 Pre-trade Landscape	RegTech within the Trading Environment	
5 Data	SDRs	
	SEFs	
	Credit Checking Technology and Custody Agents	
	HFT Malice Detection	

MODULES	TOPICS		
6 Overview of Key Users	Corlytics		
	Compliance.ai		
	Ascent Technologies		
	ComplyAdvantage		
	Cube		
	Gecko Operating Ltd.		
	Mitek Systems		
7 Overview of Key Users	CFTC and Trading		
	The Federal Reserve and Banking		
	SEC and ICOs		
8 The Anatomy of a RegTech A deep dive into the technical, and regulatory capabilities necessary to build a RegTech or address a regulatory challenge	The Four Phases of RegTech		
	Manual		
	Workflow Automation		
	Continuous Monitoring		
	Predictive Analytics		
	Protecting Compliance: Hackers, Fraud, and Mismanagement		
	Investing in RegTech Startups		
	Regulation and Compliance Gaps		
	Financial Industry Push for Standardization		
	Application Programming Interfaces (APIs)		
	Investment Managements Response to Regulatory Solutions		
	Regulatory Road Map		
	Industries that will Benefit from Blockchain Ecosystems	» Pre-trade » Smart contracts » Post-trade settlement and collateral	

MODULES		TOPICS		
9	**Case Studies and Innovation**	BNP Paribas: Use of AI and Machine Learning Technology to Reduce AML Risk		
		Venture Investments and the Future of RegTech		
		Key Regulatory Differences: Europe and the U.S.		
		GDPR		
		Trade Surveillance		
		SEC Reporting Modernizations		
		Liquidity Risk Management		
10	**Building vs. Buying a RegTech**	Buying	»	Map of the market — implied valuations
			»	Regulatory challenges
		Building	»	Costs
			»	Vendors
11	**Conclusions and Takeaways**	RegTech Around the World		
		What to Expect from Regulation in the Future		
		Which Solution would I Implement and Why ?		
		RegTech Research Resources		

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GROUP DISCOUNTS

Special rates may be available for multiple seminar or group bookings. Please contact us for details.

FEES AND CANCELLATIONS

The fee listed is per participant and includes refreshments, lunches and seminar materials. Seminar fees do not include tax, transportation or hotel accommodations. Payment must be received in full prior to the start of the seminar. Registrations may be canceled in writing via letter or email at least 30 days before the first date of the training for a full refund. Cancellations received less than 30 days in advance are eligible for substitution with another seminar, but fees will not be refunded. We reserve the right to cancel or reschedule seminars at any time. For further information on our refund and complaint policy, please contact us.

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