

# Legal Aspects of Financial & Investment Products Course

Finance, Accounting, Budgeting  
Rome (Italy)  
25 - 29 Aug 2025

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## Legal Aspects of Financial & Investment Products Course

**Ref:** 321783\_136421 **Date:** 25 - 29 Aug 2025 **Location:** Rome (Italy) **Fees:** 4200 **Euro**

### Course Description

This intensive 5-day course provides a comprehensive overview of the legal and regulatory landscape governing financial and investment products. Participants will gain in-depth knowledge of key laws, regulations, and compliance requirements affecting various financial instruments and investment vehicles. The course covers critical legal aspects of securities, mutual funds, derivatives, and other financial products.

### Learning Objectives

- Understand the primary laws and regulations governing the financial and investment industry
- Analyze legal requirements for different types of financial and investment products
- Identify key compliance obligations for financial institutions and investment advisers
- Evaluate legal risks and develop strategies for mitigating them in financial product offerings
- Apply legal and regulatory knowledge to real-world scenarios in the financial industry

### Course Modules

#### Day 1: Foundations of Securities Law

- Overview of the Securities Act of 1933 and Securities Exchange Act of 1934
- SEC registration and disclosure requirements
- Anti-fraud provisions and insider trading regulations
- Introduction to state securities laws Blue Sky Laws

#### Day 2: Investment Company and Investment Adviser Regulation

- Investment Company Act of 1940 and types of investment companies
- Investment Advisers Act of 1940 and fiduciary duties
- Mutual fund governance and compliance requirements
- Fee structures and disclosure obligations

#### Day 3: Derivatives and Alternative Investments

- Legal framework for derivatives futures, options, swaps
- Dodd-Frank Act and its impact on derivatives regulation
- Hedge fund and private equity fund regulation
- Legal considerations for structured products

A graphic of a chessboard with several chess pieces. A gold king piece is prominent in the foreground, with a silver pawn and a gold pawn nearby. The text 'UK Training PARTNER' is overlaid on the image.

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## Day 4: Consumer Protection and Retail Investor Regulations

- Truth in Lending Act and consumer credit regulations
- FINRA rules and suitability requirements
- Regulation Best Interest Reg BI and Form CRS
- Anti-money laundering AML and Know Your Customer KYC requirements

## Day 5: Emerging Trends and International Considerations

- Fintech regulations and digital assets
- Environmental, Social, and Governance ESG disclosure requirements
- Cross-border securities offerings and international regulations
- Recent enforcement actions and regulatory priorities

## Practical Wins for Participants

- Ability to navigate complex regulatory frameworks for financial products
- Enhanced skills in identifying and mitigating legal risks in product development
- Improved compliance strategies for financial institutions and advisory firms
- Practical knowledge for adapting to evolving regulatory landscapes

A graphic of a chessboard with several chess pieces (king, queen, rook, knight, and pawns) in gold and silver. The board is checkered and has concentric circles in the background.

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