Legal Aspects of Financial & Investment Products Course

27 September – 1 October 2027
Rome (Italy)

UK Traininig
PARTNER



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Ref: 321783_136491 **Date:** 27 September – 1 October 2027 **Location:** Rome (Italy) **Fees:** 5200 GBP

Why This Course

The financial and investment landscape is becoming increasingly complex, with evolving laws, regulations, and compliance requirements across securities, mutual funds, derivatives, and alternative investment products. Professionals must understand these frameworks to manage legal risks, ensure compliance, and make informed decisions. This intensive 1-week course equips participants with the knowledge and practical skills needed to navigate regulatory challenges confidently and apply legal requirements effectively in real-world scenarios.

What You'll Learn and Practice

By participating in this course, you will:

- Understand the key laws and regulations governing financial and investment products.
- Analyze legal requirements for different types of financial instruments.
- Identify and address compliance obligations for financial institutions and investment advisers.
- Evaluate legal risks and develop strategies to mitigate them in product offerings.
- Apply regulatory knowledge to practical financial scenarios.

Program Flow

Day 1: Foundations of Securities Law

- Securities Act of 1933 and Securities Exchange Act of 1934
- SEC registration and disclosure requirements
- Anti-fraud provisions and insider trading regulations
- Overview of 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
- Governance and compliance requirements for mutual funds
- Fee structures, disclosures, and reporting 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 compliance considerations
- Legal aspects of structured products

Day 4: Consumer Protection and Retail Investor Regulations

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

Day 5: Emerging Trends and International Considerations

- Fintech regulations and digital assets
- ESG disclosure requirements and sustainability considerations
- Cross-border securities offerings and international regulatory frameworks
- Recent enforcement actions and emerging regulatory priorities

Training Methodology

This program combines theoretical knowledge with practical exercises to ensure real-world application:

- Case studies illustrating regulatory challenges in financial products
- Compliance scenario analysis and risk mitigation workshops
- Interactive discussions on emerging trends, enforcement actions, and ESG considerations
- Hands-on exercises applying laws and regulations to realistic financial scenarios

Beyond the Course

Participants will leave the program prepared to:

- Confidently navigate complex legal and regulatory frameworks for financial products
- Identify and mitigate legal risks in product development and advisory services
- Implement robust compliance strategies within financial institutions and advisory firms
- Apply practical regulatory knowledge to adapt to evolving financial markets

