

Legal Aspects of Financial & Investment Products

Finance, Accounting, Budgeting
Cape Town (South Africa)
13 - 17 Jan 2025

UK Training

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Legal Aspects of Financial & Investment Products

Ref: 321783_146683 **Date:** 13 - 17 Jan 2025 **Location:** Cape Town (South Africa) **Fees:** 3300 Euro

Introduction

The Legal Aspects of Financial and Investment Products training course is designed to provide participants with a comprehensive understanding of the legal framework governing financial and investment products. Attendees will delve into the legal aspects that underpin various financial instruments, products, and investment vehicles. Through interactive discussions and practical examples, participants will gain insights into the regulatory requirements, compliance obligations, and risk management strategies related to these products. Whether you are a financial professional or an investor seeking to enhance your knowledge, this course will equip you with the essential legal knowledge to navigate the complexities of financial and investment products effectively.

Course Objectives

- Gain a thorough understanding of the legal principles and regulations governing financial and investment products.
- Identify the legal risks and challenges associated with different financial instruments and investment vehicles.
- Learn how to assess and manage legal compliance within the financial industry.
- Develop the skills to draft, review, and interpret legal documentation related to financial and investment products.
- Stay up-to-date with the latest legal developments and trends in the financial sector.

Course Outlines

Day 1

Introduction to Legal Aspects of Financial and Investment Products

- Overview of the financial industry and its various products and instruments.
- Importance of legal knowledge in financial decision-making and product development.
- Understanding the role of financial regulations and their impact on products.
- Case studies of legal issues and controversies in financial and investment products.
- Ethical considerations in the financial sector and their legal implications.

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Day 2

Legal Framework for Financial and Investment Products

- Securities laws and regulations: The foundation for investment products.
- Types of financial instruments and their legal characteristics e.g., stocks, bonds, derivatives.
- Investment funds and their legal structures e.g., mutual funds, hedge funds, ETFs.
- Overview of alternative investments and the legal considerations involved.
- Role of regulatory bodies in overseeing financial and investment products.

Day 3

Compliance and Risk Management in Financial Products

- Legal compliance requirements for financial institutions and product providers.
- Conducting risk assessments for financial and investment products.
- Mitigating legal risks through effective risk management strategies.
- Addressing conflicts of interest and potential liability issues.
- Legal implications of market misconduct and insider trading.

Day 4

Drafting and Reviewing Legal Documentation

- Essential elements of legal contracts and agreements in financial products.
- Drafting prospectuses, offering documents, and disclosure statements.
- Legal considerations in customer agreements and client documentation.
- Reviewing legal contracts to identify potential risks and pitfalls.
- Role of legal counsel in product development and documentation.

Day 5

Emerging Legal Trends and Future Outlook

- Exploring the impact of technology on financial products and the legal challenges it poses.
- Legal aspects of sustainable finance and environmental, social, and governance ESG investing.
- Cross-border transactions and the legal complexities involved.
- The role of dispute resolution and arbitration in financial product disputes.
- Future outlook: Anticipating legal developments and regulatory changes.

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