



Course: Suitability Assessment and MiFID II

Course overview

This course aims to describe and explain ESMA Guidelines for suitability and explains how to design questionnaires aiming at collecting information about clients for the purpose of a suitability assessment. The course provides details of the required information to be collected for suitability assessment and how to assess client's risk tolerance.

Course Description

This course explains and analyses ESMA Guidelines for suitability and explains how to design questionnaires aiming at collecting information about clients for the purpose of a suitability assessment. It gives examples of elements that may affect the analysis of client's financial situation and investment objectives and explains how to appraise client's understanding of basic financial notions. It explains how the extent of the service requested by the client impact the level of details of information collected from clients. It describes how to assess the risk tolerance of clients through a questionnaire, how risk tolerance affects the choice of investment products and how to match clients with suitable investments.

Topics covered

The course is split into the following sections:

Section 1: ESMA Guidelines

- Information on the Assessment
- Investment Advice and Suitability
- Illiquid and Liquid Assets
- Information and Investment Advice
- Information and Portfolio Management
- Matching Clients with Products – ESMA
- Advice should be client-based

Section 2: Suitability Examples

- Questionnaire Design
- Examples of Elements that may affect the analysis of client's financial situation and investment objectives
- ESMA Requirements
- Appraisal of Client Understanding
- Level of detail of information collected
- Reliability of Information
- Objective Criteria

Section 3: Risk Tolerance

- Assessing the risk tolerance of clients through a questionnaire
- Risk Tolerance and Products
- Riskiness of Investment Products
- Client Knowledge Vs Firm Understanding
- Updating Client Information
- Matching Clients with Products

Course Duration

This course may take up to 2 hours to be completed. However, actual study time differs as each learner uses their own training pace.



The course is addressed to:

This course is addressed to all individuals who are involved in Investment Firms such as:

- Directors, Senior Managers, Compliance officers, head of departments of Investment firms and in general to employees of investment firms
- Internal Auditors
- Consultants

It is also suitable to professionals pursuing regulatory CPD for the renewal of the “Basic” and “Advance” CySEC Certificate or other relevant certificates in other jurisdictions.

Training Method

The course is offered fully online using a self-paced approach. The learning units consist of power point presentations and case studies. Learners may start, stop and resume their training at any time.

At the end of each section, participants take a Quiz to complete their learning unit and earn a Certificate of Completion once all quizzes have been passed successfully.

Accreditation and CPD Recognition

The course can be accredited by regulators and other bodies for 2 CPD Units that require CPD training in financial regulation.

Eligibility criteria and CPD Units are verified directly by your association or other bodies in which you hold membership.

Registration and Access

To register to this course, click on the *Take this Course* button to pay online and receive your access instantly. If you are purchasing this course on behalf of others, please be advised that you will need to create or use their personal profile before finalising your payment.

Access to the course is valid for 60 days.

If you wish to receive an invoice instead of paying online, please [Contact us by email](#). Talk to us for our special Corporate Group rates.

Instructor

With more than 10 years of experience, Nektarios is an expert in the financial services industry, having worked in key roles at investment funds, CIFs and other service providers. His exposure to the industry allowed him to gain knowledge in a variety of vital investment functions.

Complementing his practical knowledge of the industry, Nektarios also holds a number of professional and academic qualifications, including CySEC’s Advance Certification. He is currently employed by an Investment Fund.