

One Day Seminar on

The Volcker Rule – A Roadmap to Compliance

The Volcker Rule, in the US, is due to come onstream in mid July, 2015, and the European version is out for comment. These rules will significantly change the capital markets business flows and requirements for banks and their customers across the board. This seminar will detail the US and EU requirements, evaluate impacts on business flows and technology, and lay out a roadmap to compliance.

Who should attend: compliance staff, trading and sales staff, business development staff and operations staff.

What will be covered:

- The Volcker Rule approach – how the regulators approached their mandates, and how that impacts compliance efforts.
- Covered funds prohibitions – what the regulators are attempting to do in the covered funds section, and how it will impact a bank's business.
- The trading exemptions – what is and isn't exempt under the VR and how trades qualify as exempt.
- General compliance – what banks have to do across the board if they want to use any of the exemptions.
- Compliance for specific exemptions – for each exemption, what are the one-time and ongoing compliance requirements, and how they interact across exemptions.
- Process implications – how each of the trading exemptions will impact pre- and post-trade processes.
- Technology implications – what technology capabilities will be essential to cost-effective compliance.
- Dealing with examinations – what early regulatory communications tell us about exams and how to prepare for them.
- The EU version – how the proposed EU version compares to the US version and how to deal with it.

Your seminar leader – George Bollenbacher is a 40-year veteran of the capital markets and a published author on the markets and regulatory reform. He has trained many front office personnel on regulatory compliance, and holds an IBM Patent Award for a trading system prototype.