



Learning Objectives Document for Continuing Professional Education 2024

Theme	Subject	Learning objective
1. Laws and Regulations	1.1 Responsible and Sustainable Investing	1.1.1 The candidate can identify current developments in laws and regulations related to responsible and sustainable investing (such as the Corporate Sustainability Due Diligence Directive).
		1.1.2 The candidate can interpret the implications of current developments in responsible and sustainable investing for financial services.
		1.1.3 The candidate can specify the role of the compliance function in the field of responsible and sustainable investing.
		1.1.4 The candidate can explain the purpose of collecting sustainability preferences from investment advisory or portfolio management clients.
		1.1.5 The candidate can name the legal requirements for collecting sustainability preferences from investment advisory or portfolio management clients.
		1.1.6 The candidate can identify the consequences of laws and regulations regarding responsible and sustainable investing for product governance.
	1.2 Recente uitspraken toezichthouders	1.2.1 The candidate can describe current published impactful (enforcement) measures by ACM, AFM, AP, DNB, and ECB, as well as judicial decisions and decisions from Complaints Committees.
		1.2.2 The candidate can explain the potential impact of the published measures and judgments from 1.2.1 on financial institutions and the compliance function.
		1.2.3 The candidate can name the compliance-relevant themes from the supervisory calendars of AFM and DNB.
	1.3 Wet- en regelgeving	1.3.1 The candidate can describe current developments in relevant laws and regulations (such as Outsourcing, MiFIR, and DORA) and their potential consequences for financial services and the compliance function.
		1.3.2 The candidate can name the current guidance from financial regulators on tax laws and regulations regarding tax avoidance.
		1.3.3 The candidate can describe the issues related to unauthorized communication tools such as private WhatsApp and other social media for business purposes (based on recent fines imposed on banks in the US by regulators for the use of unauthorized communication tools such as WhatsApp).

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		1.3.4 The candidate can name the relevant laws and regulations regarding the recording of orders and transactions with clients (e.g., MiFID regulations).
	1.4 Data/Data Protection	1.4.1 The candidate can describe developments in the use and protection of customer data (such as privacy by design and data breaches).
		1.4.2 The candidate can name the current developments in data-driven compliance.
	1.5 Gatekeeper Function	1.5.1 The candidate can describe current developments in AML and sanction regulations (e.g., the new Sanctions Act).
2. Customer	2.1 Integrity of Financial Markets	2.1.1 The candidate can describe the consequences for financial institutions based on current examples of violations of financial integrity.
		2.1.2 The candidate can apply a SIRA in practice (including attention to data integrity) to mitigate integrity risks that may arise due to (organizational) changes.
		2.1.3 The candidate can name the different responsibilities of line management and compliance for SIRA.
	2.2 Duty of Care	2.2.1 The candidate can translate current developments in duty of care towards investors, considering judicial decisions and decisions from Kifid, into practice.
		2.2.2 The candidate can name how changing expectations from society, customers, and regulators influence duty of care.
3. Current Affairs	3.1 Current Affairs	3.1.1 The candidate can explain basic concepts related to AI (such as algorithms, datasets, and models).
		3.1.2 The candidate can name the benefits and (integrity) risks of using AI in financial services.
		3.1.3 The candidate can name the compliance risks and risk mitigating measures of hybrid working.
		3.1.4 The candidate can name the compliance risks and risk mitigating measures of hiring external personnel.