



COMPANY REGULATIONS HANDBOOK

CONTENTS



Overview

GDPR

Anti Money Laundering (AML)
and Counter Terrorist Financing (CTF)

Central Bank of Ireland

Irish Stock Exchange

OVERVIEW



- Investment Landscape
 - constantly changing technology
 - ever increasing amount of regulations

=> review and update our regulatory compliance

GDPR



- Investor Personal Data
 - Opt-in agreement
 - data collection,
 - how COMPANY uses data, and
 - how long COMPANY holds data
- Company Duties
 - Procedures
 - Mindset

GDPR

FUNCTIONS

- **Data Controller**
 - purposes and means of processing of personal data
 - fine: \$10 million 2% annual revenue
- **Data Processor**
 - manages that personal data on behalf of the Data Controller
 - Under contract
- **Data Protection Officer**
 - monitors data usage
 - informs employees
 - reports to Data Protection Commission

GDPR

COMPANY ROLES AND RESPONSIBILITIES

- Fund Administrator
 - oversee
- Transfer Agent
 - Transactions and certificates
- Distributor
 - collection
- Investment Manager
 - profiling
- Company Secretary
 - Financial statements

ANTI MONEY LAUNDERING AND COUNTER TERRORIST FINANCING

Context

- Threat
 - Criminal Gangs
 - Jihadi cells
 - Legacy of ISIS
- Regulations on COMPANY
 - Criminal Justice Act
 - Central Bank

ANTI MONEY LAUNDERING AND COUNTER TERRORIST FINANCING

- Risk Assessment
 - Know the risk
 - Mitigate
 - Categories
- Counter-Measures
- Verification
- Review



CENTRAL BANK OF IRELAND

- Authorise, Supervise, and Enforce
- Authorisation
 - License
- Competency
- Fitness and Probity
 - Trust in Financial System
 - Employees act in good faith



CENTRAL BANK OF IRELAND

- Supervision
 - Monitor
 - Inspect
 - Guidance
- Enforce
 - Fines
 - Reprimand

IRISH STOCK EXCHANGE



- Euronext
- Sole regulated market
 - Accountable to CBI
- COMPANY has access to
 - Main Securities Market
 - Enterprise Securities Market
 - Atlantic Securities Market

IRISH STOCK EXCHANGE



- Types of Securities
 - Equities
 - Bonds
 - Funds
- Monitor
 - Interact
 - Responsible
 - Violations
- Approve
 - Listing
- Report
 - Irregularities

CONCLUSION

- Vigilance
 - Regulations
 - Transactions
 - Responsibilities