

## Professional Refresher modules last review dates

Module Title	Last Review Dates
<b>Alternative Investment Fund Managers Directive (AIFMD)</b>	Feb 2018
<b>Anti-Money Laundering</b>	Jan 2018
<b>Approved Persons Regime</b>	Oct 2017
<b>Autumn Statement 2016</b>	Nov 2016
<b>Banking Standards</b>	Oct 2017
<b>Behavioural Finance</b>	Mar 2017
<b>Best Execution</b>	Dec 2017
<b>Blockchains</b>	Dec 2017
<b>Bonds</b>	Jan 2018
<b>Budget</b>	Mar 2017
<b>Business Protection</b>	May 2017
<b>Capital Gains Tax (CGT)</b>	Apr 2018
<b>Central Clearing</b>	Feb 2017
<b>Certification - What it Means For You</b>	Mar 2017
<b>Client Assets and Client Money</b>	Jan 2018
<b>Client Categories</b>	Dec 2017
<b>Commodities and Energy Markets</b>	Jun 2017
<b>Conduct Risk</b>	Oct 2017
<b>Conduct Rules</b>	Apr 2018
<b>Conduct Rules for All Staff</b>	Apr 2018
<b>Conflicts of Interest</b>	Dec 2017
<b>Corporate Actions</b>	Oct 2017
<b>Corporate Governance</b>	Dec 2017
<b>Crowdfunding</b>	Sep 2017
<b>Customer Complaints Procedures</b>	Jan 2018
<b>Cybercrime</b>	Apr 2018
<b>Derivatives</b>	Feb 2017
<b>Dodd-Frank Act</b>	Jul 2017
<b>ESMA Knowledge and Competence Guidelines</b>	Dec 2017
<b>Essentials of Client Assets and Client Money</b>	Jan 2018
<b>Estate Planning</b>	Jun 2017
<b>European Market Infrastructure Regulation</b>	Aug 2017
<b>Exchange Traded Funds</b>	Jan 2017
<b>Financial Crime</b>	Jan 2018
<b>Financial Ombudsman Service</b>	Apr 2018
<b>Financial Planning</b>	May 2017
<b>Financial Promotions</b>	Dec 2017
<b>Financial Transaction Tax</b>	Jan 2017
<b>Fintech</b>	Feb 2018
<b>Foreign Account Tax Compliance Act (FATCA)</b>	Nov 2017
<b>Funding Long-Term Care</b>	May 2017
<b>General Data Protection Regulation (GDPR)</b>	Mar 2018
<b>Hedge Funds</b>	Feb 2018
<b>Human Trafficking and the Modern Slavery Act</b>	Oct 2017
<b>Individual Savings Accounts (ISAs)</b>	Apr 2018
<b>Inducements and Dealing Commissions</b>	Dec 2017
<b>Influencing Teams</b>	Jul 2017
<b>Information Security and Data Protection</b>	Jun 2017
<b>Insolvency and Bankruptcy</b>	May 2017
<b>Insurance</b>	May 2017

<b>Integrity and Ethics</b>	Mar 2018
<b>Investment Business on the Internet</b>	Aug 2017
<b>Investment Planning</b>	Jun 2017
<b>Investment Principles and Risk</b>	Feb 2018
<b>Investment Taxation</b>	Dec 2017
<b>Islamic Banking</b>	Jul 2017
<b>Managing Charity Portfolios</b>	Jan 2018
<b>Managing in the Regulatory Environment</b>	Oct 2017
<b>Market Abuse</b>	Sep 2017
<b>MiFID II</b>	Jan 2018
<b>New UK Regulatory Environment</b>	Jun 2017
<b>Non-Executive Directors' Roles</b>	Apr 2017
<b>Offshore Fund Administration</b>	Aug 2017
<b>Paraplanning</b>	Dec 2017
<b>Pensions Advice</b>	Nov 2017
<b>Pensions and Provision</b>	Apr 2017
<b>Permissions Regime</b>	Jan 2017
<b>Presentation Skills</b>	Jul 2017
<b>Price Stabilisation</b>	Mar 2017
<b>Principles of RDR</b>	Jul 2017
<b>RDR Adviser</b>	Jul 2017
<b>RDR Independence</b>	Jul 2017
<b>RDR Professionalism</b>	Jul 2017
<b>Regulation and Ethics</b>	Jan 2018
<b>Regulation of Platforms</b>	Feb 2017
<b>Remuneration Code</b>	Sep 2017
<b>Retail Investment Advice in the UK</b>	Dec 2017
<b>Retail Investment Products</b>	Apr 2017
<b>Retirement Planning</b>	Feb 2018
<b>Risk</b>	May 2017
<b>Robo-Advice</b>	Jun 2017
<b>Sanctions and Global Markets</b>	Aug 2017
<b>Securities Financing</b>	Feb 2017
<b>Senior Managers and Certification Regime</b>	Jan 2018
<b>Shares</b>	Sep 2017
<b>Sovereign Wealth Funds</b>	Jan 2017
<b>Speak Up</b>	Oct 2017
<b>Structured Investment Products</b>	Jun 2017
<b>Structuring Wealth</b>	Jun 2017
<b>Suitability of Client Investments</b>	Dec 2017
<b>T&amp;C Supervision Essentials</b>	Jul 2017
<b>Tanzania Capital Markets Regulation</b>	Mar 2017
<b>Taxation</b>	Apr 2018
<b>Training and Competence</b>	Jul 2017
<b>Treating Customers Fairly</b>	Sep 2017
<b>Trusts</b>	Feb 2018
<b>UCISs &amp; NMPIS</b>	Oct 2017
<b>UCITS</b>	Aug 2017
<b>UK Bribery Act</b>	Jan 2018
<b>UK Regulatory Structure</b>	May 2017
<b>VCTs &amp; EISs</b>	Feb 2017
<b>Vulnerable Clients</b>	Nov 2017