



SM116: Advanced Market Monitoring and Surveillance

Training Description:

The **Advanced Market Monitoring and Surveillance** program is a comprehensive five-day training course designed to equip professionals with the knowledge, methodologies, tools, and best practices required to effectively monitor, analyze, detect and respond to market anomalies, manipulation, abuse and emerging risks in today's dynamic business and financial environments.

As markets become increasingly complex due to digitalization, algorithmic trading, globalization, regulatory changes and real-time data availability, organizations must establish robust market monitoring and surveillance frameworks to ensure transparency, integrity, compliance and operational excellence. This training course provides participants with practical insights into surveillance systems, market behavior analysis, risk indicators, data analytics, compliance requirements, fraud detection techniques and regulatory expectations.

Through case studies, practical exercises, and real-world examples, participants will learn how to identify unusual trading patterns, detect suspicious activities, analyze market trends, assess risks and implement effective surveillance controls that support organizational objectives and regulatory compliance.

Training Objectives:

By the end of the training, participants will be able to:

- ✓ Understand the principles and objectives of market monitoring and surveillance
- ✓ Identify key market risks, manipulation techniques and fraudulent activities
- ✓ Develop effective surveillance frameworks and monitoring mechanisms
- ✓ Analyze market data and detect unusual patterns and anomalies
- ✓ Apply advanced analytics and technology-driven surveillance techniques
- ✓ Assess market integrity risks and implement mitigation strategies
- ✓ Understand international regulatory requirements and compliance expectations
- ✓ Conduct investigations into suspicious market activities
- ✓ Develop reporting, escalation and governance procedures
- ✓ Enhance organizational capability in proactive risk management and market oversight

Expected Learning Outcomes:

Upon successful completion of this course, participants will be able to establish and manage an effective market monitoring and surveillance program, detect and investigate suspicious activities, strengthen regulatory compliance, leverage advanced analytical tools, and contribute to maintaining market integrity, transparency, and stakeholder confidence.

Training Designed for:

This training course is intended for the following professionals:

- Market Surveillance Officers
- Compliance Managers and Officers
- Risk Management Professionals
- Internal Auditors
- Regulatory Affairs Specialists
- Financial Market Professionals

- Trading Desk Supervisors
- Investment and Asset Management Professionals
- Market Analysts
- Corporate Governance Professionals
- Fraud Investigation Teams
- Financial Controllers
- Banking and Financial Services Personnel
- Energy, Commodity and Capital Market Regulators
- Professionals responsible for market oversight and compliance

Training Requirement:

“Hand’s on practical sessions, equipment and software will be applied during the course if required and as per the client’s request.”

Contents can be adapted to your specific wishes. It is therefore possible to focus on specific modules of the training course as per client’s learning needs and objectives. Further, it should be forwarded to us a month prior to the course dates.

Training Program:

DAY ONE:

FOUNDATIONS OF MARKET MONITORING AND SURVEILLANCE

- ❖ **Module 1: Introduction to Market Monitoring**
 - Importance of market integrity
 - Market monitoring objectives
 - Market transparency and fairness
 - Market participants and their roles
 - Surveillance lifecycle
- ❖ **Module 2: Market Structures and Dynamics**
 - Financial and commodity markets overview
 - Market mechanisms and trading environments
 - Exchange-traded and over-the-counter markets
 - Market behavior and participant interaction
- ❖ **Module 3: Market Risks and Vulnerabilities**
 - Market abuse risks
 - Operational risks
 - Conduct risks
 - Information asymmetry
 - Emerging market threats
- ❖ **Module 4: Surveillance Framework Fundamentals**
 - Components of surveillance systems
 - Governance structures
 - Monitoring policies and procedures
 - Risk-based surveillance approach

❖ **Practical Exercises:**

- Assessing market surveillance maturity within an organization

DAY TWO:

MARKET ABUSE DETECTION AND SURVEILLANCE TECHNIQUES

❖ **Module 1: Understanding Market Abuse**

- Insider trading
- Front running
- Spoofing
- Layering
- Wash trading
- Pump and dump schemes
- Benchmark manipulation

❖ **Module 2: Surveillance Indicators and Red Flags**

- Suspicious trading patterns
- Volume anomalies
- Price manipulation indicators
- Behavioral risk indicators
- Transaction monitoring triggers

❖ **Module 3: Detection Methodologies**

- Rule-based monitoring
- Scenario-based surveillance
- Risk-based monitoring
- Exception reporting techniques

❖ **Module 4: Alert Management Processes**

- Alert generation
- Alert review procedures
- Escalation protocols
- False positive management

❖ **Practical Workshop**

- Identifying suspicious market activities using surveillance scenarios

DAY THREE:

DATA ANALYTICS AND TECHNOLOGY IN MARKET SURVEILLANCE

❖ **Module 1: Data-Driven Market Surveillance**

- Importance of quality data
- Data collection and validation
- Data governance principles
- Data integrity management

❖ **Module 2: Advanced Analytics Techniques**

- Trend analysis
- Pattern recognition
- Behavioral analytics
- Predictive analytics
- Statistical anomaly detection

❖ **Module 3: Surveillance Technologies**

- Automated surveillance platforms

- Artificial Intelligence applications
- Machine Learning in surveillance
- Real-time monitoring systems
- Dashboard and visualization tools
- ❖ **Module 4: Digital Market Challenges**
 - High-frequency trading oversight
 - Algorithmic trading risks
 - Cross-market surveillance
 - Cybersecurity considerations
- ❖ **Practical Exercise:**
 - Analyzing surveillance data and identifying anomalies

DAY FOUR:

INVESTIGATION, COMPLIANCE AND REGULATORY REPORTING

- ❖ **Module 1: Conducting Market Investigations**
 - Investigation planning
 - Evidence gathering
 - Transaction reconstruction
 - Documentation requirements
 - Interview techniques
- ❖ **Module 2: Regulatory Frameworks and Standards**
 - Global market surveillance regulations
 - IOSCO principles
 - Market abuse regulations
 - Compliance obligations
 - Reporting requirements
- ❖ **Module 3: Governance and Compliance Controls**
 - Compliance monitoring programs
 - Internal control systems
 - Ethical conduct frameworks
 - Risk governance structures
- ❖ **Module 4: Reporting and Escalation**
 - Regulatory reporting procedures
 - Suspicious activity reporting
 - Management reporting
 - Incident communication protocols
- ❖ **Case Study:**
 - Investigation of a market manipulation event

DAY FIVE:

BUILDING AN ADVANCED MARKET SURVEILLANCE PROGRAM

- ❖ **Module 1: Designing a Comprehensive Surveillance Framework**
 - Surveillance strategy development
 - Risk-based monitoring models
 - Key surveillance controls
 - Resource allocation
- ❖ **Module 2: Key Risk Indicators and Performance Metrics**

- Developing KRIs
- Surveillance effectiveness measurement
- Performance dashboards
- Continuous improvement mechanisms
- ❖ **Module 3: Emerging Trends and Future Challenges**
 - AI-driven surveillance
 - Digital assets and cryptocurrency markets
 - ESG-related market risks
 - Global regulatory developments
 - Future surveillance technologies
- ❖ **Module 4: Developing an Organizational Action Plan**
 - Gap assessment
 - Improvement roadmap
 - Change management considerations
 - Stakeholder engagement
 - Sustainability of surveillance programs
- ❖ **Final Workshop**
 - Developing an Advanced Market Monitoring and Surveillance Framework for participants' organizations
- ❖ Course Conclusion
- ❖ POST-ASSESSMENT and EVALUATION

Training Methodology:

The course utilizes:

- Interactive Lectures
- Real-Life Case Studies
- Group Discussions
- Market Surveillance Simulations
- Data Analysis Exercises
- Regulatory Compliance Workshops
- Practical Risk Assessment Activities
- Incident Investigation Exercises

This interactive training course includes the following training methodologies as a percentage of the total tuition hours:

- 30% Lectures, Concepts, Role Play
- 70% Workshops & Work Presentations, Techniques, Based on Case Studies & Practical Exercises, Gamification, Software & General Discussions
- Pre and Post Test

Training Certificate(s):

CMCT Internationally recognized certificate(s) will be issued to each participant who completed the course.

Training Fees:

USD\$ TBA - This rate includes participant's manual, hand-outs, buffet lunch, coffee/tea on arrival, morning & afternoon of each day.

Note: The 5% VAT (Value Added Tax), will be effective starting 01st of January 2018 as per the new regulation from the UAE Government. The VAT applies for all quotation both for local and abroad.

Training Timings:

Daily Timings:

07:45 - 08:00	Morning Coffee / Tea
08:00 - 10:00	First Session
10:00 - 10:20	Recess (Coffee/Tea/Snacks)
10:20 - 12:20	Second Session
12:20 - 13:00	Recess (Prayer Break & Lunch)
13:00 - 14:00	Last Session

For training registrations or in-house enquiries, please contact:

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