

FINANCIAL SERVICES COMPLIANCE ADMINISTRATION (FCA) Graduate Certificate

Newnham Campus

September
Year 1, Level 1

FCA 102
Anti-Money Laundering
Administration
(4 hours)

FCA 111
Law and Governance
(3 hours)

FCA 120
Financial Services Product
Knowledge
(3 hours)

FCA 151
Project Management: Policies and
Procedures
(3 hours)

FCA 125*
Understanding Investments and
Investment Strategies
(4 hours)

January
Year 1, Level 2

FCA 202
Privacy Management and Identity
Theft
(3 hours)

FCA 210
Risk Management and Market
Conduct
(3 hours)

FCA 221
Compliance Communication and
Complaints Management
(3 hours)

FCA 225*
Investment Strategies and Tactics
(4 hours)

FCA 295
Regulatory Compliance
Administration
(3 hours)

FCA 231
Ethics and Professional Conduct:
Liability
(3 hours)

FPL 290**
Field Placement

Notes:

* FCA 125 and FCA 225 cover the material for Parts I & II of the Canadian Securities Course (CSC).

** FPL 290 is the mandatory 4-week field placement which concludes at the end of May.