Is your business SEC compliant? Here's a quick way to make sure

You might not even know what it is, but it just cost Fiat Chrysler $9.5M. The company has agreed to pay the sum following accusations that it violated federal securities law. Allegedly, the company suggested to investors that its emission control systems were compliant with environmental regulations, having in fact performed insufficient testing and left out important details.

SEC compliance essentially involves adhering to the rules both created and enforced by the Securities and Exchange Commission (otherwise known as SEC) in the United Sates. SEC as an agency was formed by Congress in 1934, and is a federal regulator of the securities market.

SEC claim their mission is to "protect investors, maintain fair, orderly, and efficient markets, and facilitate capital formation."

If you work within the US financial services sector, it's vital that you hold an understanding of SEC and furthermore how to comply with SEC's rules and regulations.

Don't have this? Don't panic.

RQC Group, a compliance firm located in both the UK and the US, has recently launched e-learning courses to help teach users about SEC compliance.

These online courses represent a refreshing shift from how individuals previously learnt about SEC compliance; physical courses or talking with a professional consultancy practice were often costly and a little gruelling! Through these new courses, people can now learn SEC regulations simply and easily, from the comfort of their own homes. These rules persist even throughout a global pandemic – and RQC Group has provided a safe and socially-distanced way to make sure you know what's what.

RQC Group offers the following SEC Compliance courses:

Compliance Issues from SEC Examinations – 60 mins

Induction Training for SEC Registered Investment Advisers – 60 mins

Refresher Training for SEC Registered Investment Advisers – 60 mins

Interested in further e-learning?

The RQC Group also has a range of other online training courses, helping individuals gain an in-depth knowledge of – for example – FCA and CFTC/NFA compliance. In the UK, it offers courses in SMCR, Compliance and Financial Crime, with another course on Cybersecurity coming soon.

In addition to its SEC courses, the firm also offer online courses in the US in NFA compliance – with a Cybersecurity course also coming soon.

All training courses offered by the RQC Group have been written by senior consultants in compliance. The firm maintain an extensive knowledge base around the topics each of their courses cover, helping individuals in both the UK and the US gain a more insightful understanding of their chosen topic of study.

Article by MADDYNESS