

# Responsible Manager Compliance for Carbon Market Participants

**Certainty Compliance and Carbon Market Institute developed this training program to allow Responsible Managers demonstrate their knowledge of Australian financial services regulation and AFS licence obligations.**

**Financial services regulation is complex and new for many in the carbon market. Understanding your obligations is crucial for anyone in a senior position in the carbon industry. As a new or existing Responsible Manager, you're expected to understand the obligations of holding an AFS licence.**

## Who should attend?

- Responsible Managers nominated on an AFS Licence or variation application to provide financial services in carbon products to wholesale clients to meet relevant industry short course under ASIC RG105
- Registrants preparing an AFS Licence application or those deciding whether to apply
- Existing Responsible Managers seeking a refresher course
- While this program does not meet ASIC RG146 requirements for providing advice to retail clients, it is a useful introduction for all carbon market participants. The national training framework is not yet available and you need to understand the requirements now.

## Program

- Regulatory framework for carbon markets and financial services
- Financial products in the carbon markets
- Requirement to hold an AFS licence and scope of authorisations
- The role and responsibilities of a Responsible Manager
- Identify your compliance requirements as an AFS licensee
- Strategies for meeting the obligations of an AFS licensee
- Preparing your AFS licence application

## Continuing professional development

On completion of this course you will receive:

- 5 CPD hours
- Certificate of Completion

## Cost

\$895 including GST per attendee

\*\*\*10% discount for CMI members

## Registration

Online [www.certaintycompliance.com.au](http://www.certaintycompliance.com.au)

By email [training@certaintycompliance.com.au](mailto:training@certaintycompliance.com.au)



## About the facilitator



### **Michelle East, Director, Certainty Compliance Pty Ltd**

Certainty Compliance specialise in making compliance part of your business. Michelle has a 10 year track record of assisting businesses new to financial services regulation obtain appropriate licences and grow into successful, compliant businesses.

A veteran of several hundred AFS licence applications and a hands on compliance manager, Michelle provides highly practical advice on complying with financial services regulatory requirements.

At last count, Certainty has assisted over 40 carbon market participants obtain or vary AFS licences for carbon trading.



Level 3, 205 Clarence Street  
Sydney NSW 2000  
(02 8324 5300)

[training@certaintycompliance.com.au](mailto:training@certaintycompliance.com.au)  
[www.certaintycompliance.com.au](http://www.certaintycompliance.com.au)



Level 1, 486 Albert Street  
East Melbourne VIC 3002  
(03) 9245 0900

[info@carbonmarketinstitute.org](mailto:info@carbonmarketinstitute.org)  
[www.carbonmarketinstitute.org](http://www.carbonmarketinstitute.org)