

**Alexis Bouly**

Advisory Director

+352 621 335 098

alexis.bouly@pwc.lu

Transfer agent curriculum

Etienne Hirsch

Head of PwC Academy

+352 49 48 48 6022

etienne.hirsch@pwc.lu

Introduction

Over the past decades, the landscape of the investment fund industry has been reshaping itself, not only adapting to the evolving needs and expectations of investors and distributors but also adopting technological disruptors. Along with that shift have come changes in the way the Transfer Agents (TAs) operate, organise, manage risk, implement regulate and interact with other stakeholders of the investment funds value chain.

In close collaboration with PwC's subject matter experts, PwC Academy has designed a multilayer impactful training curriculum for junior and more experienced transfer agency staff, managers and executives who wish to develop further and efficiently in their role or look forward to the upcoming trends. Similarly, it shall help other stakeholders working in the investment funds business acquire a good understanding of the transfer agency business.

Your reasons why

Acquire new skills and competencies relevant to the transfer agent role.

Gain a deeper and more insightful information on this business.

Navigate and understand the regulatory framework.

Identify opportunities to improve internal organisational processes.

Obtain a sufficient level of factual consideration to make informed business decision

Navigate the complex landscape of funds' industry governance and compliance.

Description

Our pedagogic approach embraces an extensive learning universe, offering participants the flexibility to blend digital and live formats for an optimal and personalised learning experience.

To answer your questions and training needs at different stages of your career, our curriculum offers a learning experience over 2 levels: Foundation and Knowledge & Competence.

Objectives

By the end of this curriculum, participants will:

- understand Luxembourg funds industry market characteristics, including challenges and future transformations;
- gain detailed insights into TA department roles, responsibilities, and operational processes;
- examine the origin, evolution, and models of transfer agent activity, along with interactions within the Luxembourg fund industry;
- familiarise with laws, regulations, and best practices governing investment funds, especially TA activities;
- understand ESG and other relevant reporting requirements for investment funds;
- have a comprehensive understanding of operational risks linked to transfer agency activities;
- identify main forces shaping the TA industry and current trends in TA service offerings;
- develop understanding of modern technologies such as DLT and their potential application to the TA landscape.

Made of complementary and modular building blocks, our curriculum will help you identify the best learning experience for you and your teams. They are proposed as comprehensive training programmes, but individual training modules can also be selected as standalone courses to meet specific needs. PwC Academy can help you create a customised pathway to align with your objectives.

Our modular training offering

			Modules			
Transfer Agent curriculum	Level 1 Foundation	Investment funds industry	Investment funds - Introduction and market data (1h)	Investment funds - Actors, roles and responsibilities (1h)	Investment funds - Operational aspects (1h)	Investment funds - Distribution platforms (1h)
		Investment funds regulation	AML - Follow the money (e-learning) (1h)	Automatic exchange of information (FATCA and CRS) for 1st line of defence - Basic principles	GDPR essentials (e-learning) (1h)	MiFID II: the essentials (2h)
	Level 2 Knowledge & Competence	Common to both UCITS and AIFs	Tax aspects of investors onboarding: DAC6 to DAC8, FATCA/ CRS and AML (2h)	Investment funds - Regulatory framework (UCITS and AIFs) (3h)	GDPR hot topics in Luxembourg and Europe (1h)	
		Learning path UCITS	Transfer Agent: roles and responsibilities (1h30)	Transfer Agent: operations and support teams (3h)	Operational risks in TA (1h30)	
		Learning path AIFs	Duties and formalism in TA standard operations for AIFs (3h30)			

Explore our Transfer Agent training modules



Tailored training programme

PwC Academy can also provide tailored solutions subject to the clearance of independence requirements.



Our value proposition

