

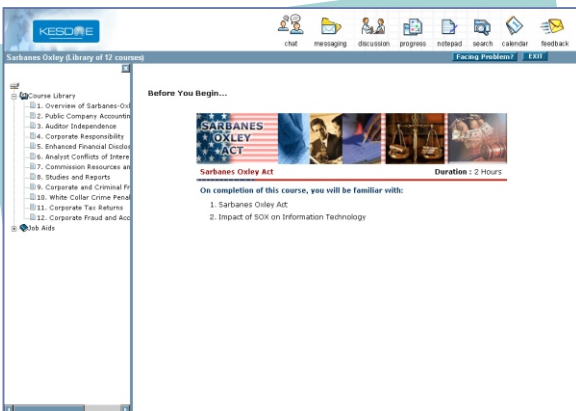
Sarbanes-Oxley Act

A Library of 12 courses covering the aspects of accounting and financial reporting obligations

After completing this course you will be conversant with:

- Accountability standards for Corporate Boards, Audit Committees and for External Auditors
- Criminal penalties prescribed for misconduct by the Corporate Officials and violations of the Securities Exchange Act of 1934
- Establishment of Public Company Accounting Oversight Board under the Securities and Exchange Commission to oversee public accounting firms and issue accounting standards
- Certification of financial reports by Chief Executive Officers and Chief Financial Officers
- Requirements that publicly traded companies furnish independent annual audit reports on the existence and condition of internal controls as they relate to financial reporting
- Enhanced financial disclosures
- Requirements for stringent internal controls both for general governance as well as Information Technology (IT) systems

Sarbanes-Oxley Act



Overview

The series of corporate financial scandals that took place in the United States has led to the framing of new legislation called Sarbanes-Oxley Act that strengthens corporate governance and restores investor confidence and eliminates corporate corruption and fraud.

The law was intended to bolster public confidence in the nation's capital markets and imposes new duties and significant penalties for non compliance on public companies and their executives, directors, auditors, attorneys and securities analysts.

Course Level & Number of Courses

Intermediate & Advanced Level
Library of 12 Courses

Instructional Method

Dynamic, Interactive e-learning

Recommended Background

Familiarity with basic financial concepts

Target Audience

Every professional involved in the global financial services industry (as a provider, user, regulator or advisor of product/services, marketplace/exchange) would benefit from KESDEE's innovative solutions.

- Supervisory Agencies
- Central Banks
- Financial Institutions
- Commercial Banks
- Investment Banks
- Housing Societies/Thriffs
- Mutual Funds
- Brokerage Houses
- Stock Exchanges
- Derivatives Exchanges
- Insurance Companies
- Multinational Corporations
- Accountancy Firms
- Consultancy Firms
- Law Firms
- Rating Agencies
- Multi-lateral Financial Institutions
- Others

The themes of this product are:

- The Sarbanes-Oxley Act requires compliance with a comprehensive reform of accounting procedures for publicly held corporations to promote and improve the quality and transparency of financial reporting by both internal and external independent auditors
- Analysis of the impact on Public Companies
- It enhances accountability standards for directors and officers, auditors, securities analysts

Sarbanes-Oxley Act

Library of 12 Courses

Time taken to complete each Course: Two - Three hours

1. Overview of Sarbanes-Oxley Act

- Objectives
- Introduction
- Sarbanes-Oxley Act
- Sarbanes Oxley and Information Technology
- Definitions under Sarbanes-Oxley Act
- Auditor Independence
- Corporate Responsibility
- Enhanced Financial Disclosures
- White-Collar Crime Penalty Enhancements
- Corporate Fraud Accountability

2. Public Company Accounting Oversight Board

- Objectives
- Introduction
- Establishment of Public Company Accounting Oversight Board
- Powers of the Board
- Commission oversight of the Board
- Accounting Standards

3. Auditor Independence

- Objectives
- Introduction
- Auditor Independence
- Preapproval Requirements by the Audit Committee
- Reports to Audit Committee
- Conflicts of Interest

4. Corporate Responsibility

- Objectives
- Introduction
- Public Company Audit Committees
- Corporate Responsibility for Financial Reports
- Implications of Sarbanes Oxley Act on the Information Technology
- Forfeiture of Certain Bonuses and Profits
- Insider Trades During Pension Fund Blackout Periods
- Rules of Professional Responsibility for Attorneys

5. Enhanced Financial Disclosures

- Objectives
- Introduction
- Disclosures in Periodic Reports
- Disclosures of Transactions Involving Management and Principal Stockholders
- Management Assessment of Internal Controls
- Code of Ethics for Senior Financial Officers
- Enhanced Review of Periodic Disclosures by Issuers

6. Analyst Conflicts of Interest

- Objectives
- Introduction
- Treatment of Securities Analysts by Registered securities Associations
- Disclosure

7. Commission Resources and Authority

- Objectives
- Introduction
- Authorization of Appropriations
- Appearance and Practice Before the Commission
- Federal Court Authority to Impose Penny Stock Bars

8. Studies and Reports

- Objectives
- Introduction
- GAO Study and Report Regarding Consolidation of Public Accounting Firms
- Study and Report by Commission Regarding Credit Rating Agencies
- Study of Investment Banks

Library of 12 Courses

Time taken to complete each Course: Two - Three hours

9. Corporate and Criminal Fraud Accountability

- Objectives
- Introduction
- Destruction, alteration, or falsification of records in Federal investigations and bankruptcy
- Destruction of corporate audit records
- Review of Federal Sentencing Guidelines for Obstruction of justice and extensive criminal fraud
- Protection for Employees of Publicly Traded Companies Providing Evidence of Fraud
- Criminal Penalties for Defrauding Shareholders of Publicly Traded Companies

10. White-Collar Crime Penalty Enhancements

- Objectives
- Introduction
- Attempts and Conspiracies to Commit Criminal Fraud Offenses
- Penalties for Mail and Wire Fraud
- Penalties for Employee Retirement Income Security Act of 1974 Violations
- Corporate Responsibility for Financial Reports

11. Corporate Tax Returns

- Objectives
- Introduction
- Sense of Senate Regarding signing of Corporate Tax Returns by Chief Executive Officers

12. Corporate Fraud and Accountability

- Objectives
- Introduction
- Tampering a Record or Impeding an Official Proceeding
- Prohibition of Persons from Serving as Officers and Directors

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- Legislations
- Case Studies

KESDEE's Off-the-Shelf e-Learning Course Libraries

Product Name	No. of Courses
1. Asset Liability Management	Library of 28 Courses
2. Liquidity Management and Contingency Funding Plan	Library of 14 Courses
3. Financial Institution Analysis - CAMELS Approach	Library of 08 Courses
4. Financial Mathematics	Library of 07 Courses
5. Global Banking Supervision	Library of 15 Courses
6. Capital Adequacy Planning (Basel I)	Library of 07 Courses
7. Basel-II-University	Library of 63 Courses
8. Operational Risk Management – Basel II	Library of 09 Courses
9. Futures and Forwards	Library of 07 Courses
10. Swaps	Library of 07 Courses
11. Options	Library of 10 Courses
12. Market Risk - Basic	Library of 08 Courses
13. Market Risk - Intermediate	Library of 08 Courses
14. Market Risk - Advanced	Library of 04 Courses
15. Value at Risk	Library of 16 Courses
16. Credit Analysis	Library of 13 Courses
17. Credit Ratings	Library of 03 Courses
18. Counter party Credit Risk	Library of 09 Courses
19. Credit Risk Modeling	Library of 06 Courses
20. Credit Derivatives	Library of 23 Courses
21. Operational Risk Management	Library of 21 Courses
22. Asset Securitization	Library of 28 Courses
23. Asset Liability Management for Insurance Companies	Library of 29 Courses
24. Anti-Money Laundering	Library of 06 Courses
25. Financial Privacy	Library of 06 Courses
26. Corporate Governance	Library of 09 Courses
27. Sarbanes-Oxley Act	Library of 12 Courses
28. Governance, Risk and Compliance	Library of 07 Courses
29. Money Markets	Library of 09 Courses
30. Fixed Income Markets	Library of 17 Courses
31. Equity Markets	Library of 10 Courses
32. Foreign Exchange Markets	Library of 09 Courses
33. Commodity and Energy Markets	Library of 03 Courses
34. CTM - Foreign Exchange Management	Library of 07 Courses
35. CTM - Treasury Analytics	Library of 05 Courses
36. CTM - Interest Rate Risk Management	Library of 04 Courses
37. CTM - Funding and Investments	Library of 05 Courses
38. CTM - Implementation	Library of 04 Courses
39. CTM - Case Studies	Library of 05 Courses
40. Understanding Financial Statements	Library of 02 Courses
41. Budgeting	Library of 05 Courses
42. Management Accounting	Library of 07 Courses
43. Financial Accounting	Library of 09 Courses
44. Mutual Funds	Library of 10 Courses
45. Financial Planning	Library of 09 Courses
46. UCP600	Library of 07 Courses
47. International Trade Services	Library of 09 Courses
48. BBM - Deposits	Library of 04 Courses
49. BBM - Advances	Library of 07 Courses
50. BBM - Marketing	Library of 03 Courses

Available Products

KESDEE's Off-the-Shelf e-Learning Course Libraries

Product Name	No. of Courses
51. BBM - Payment and Settlement System	Library of 02 Courses
52. BBM - Foreign Exchange Operations	Library of 03 Courses
53. BBM - Trade Finance	Library of 02 Courses
54. BBM - Book Keeping and accounting	Library of 03 Courses
55. BBM - Ancillary Services	Library of 02 Courses
56. BBM - Risk Management	Library of 03 Courses
57. BBM - Technology and Security	Library of 02 Courses
58. BBM - HRM and CSR	Library of 02 Courses
59. BBM - Retail Banking	Library of 03 Courses
60. Introduction to Bank Lending Environment	Library of 07 Courses
61. Basics of Banking	Library of 10 Courses
62. Flotation	Library of 04 Courses
63. Project Valuation	Library of 03 Courses
64. Trading Operation Controls	Library of 04 Courses
65. Economics	Library of 16 Courses
66. Estate Planning	Library of 04 Courses
67. Global Economic Crisis - Liquidity Management	Library of 07 Courses
68. Brokerage Operations	Library of 01 Course
69. Risk Analysis	Library of 05 Courses

* CTM: Corporate Treasury Management

* BBM: Bank Branch Management

Certification Tutorials

1. ePRM Coach	Library of 68 Courses
2. Associate ePRM Coach	Library of 36 Courses
3. eFRM Coach for FRM Part I Exam	Library of 37 Courses
4. eCoach for the CFA® Level I Program	Library of 76 Courses

Upcoming Products


KESDEE has the required technology platform to respond to clients training requirements in the banking and financial services industry. We offer several solutions, each developed with the guidance of creditable experts. Given below are few of the forthcoming products:

- Agricultural Finance



GFTT
Global Financial Training and Technology

5280 Carroll Canyon Road, Suite 220, San Diego; CA 92121, U.S.A

 +1 858-558-8118

 +1 858-558-8448



information@kesdee.com,
gfttinfo@kesdee.com



www.kesdee.com,
www.gftt.com