



Applying the Principles of **Risk Based Compliance Monitoring** under the FCA

30 November 2017 | City of London

9.30am to 4.30pm

How to develop and maintain an effective, targeted and up to date monitoring programme.

Attending this highly practical one day course will help you:

- **Demonstrate the effectiveness of your controls** to the regulator
- Effectively identify, categorise and **prioritise compliance risks**
- Explore the use of **Key Indicators for risks and controls**
- Examine **monitoring techniques** (desk based, exception reporting, systems, visits) and know how to select the most appropriate option
- Determine **when to escalate** issues and change monitoring levels
- **Construct a comprehensive compliance monitoring plan** that will prioritise risks and drive out resource requirements
- **Tailor your reporting** to different groups to make sure critical messages are received and understood
- **Keep your programme up to date:** respond to monitoring results and emerging hot spots
- Develop both your **technical monitoring** and 'softer' skills set: establishing credibility, obtaining buy-in, managing resistance.



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For more information

Email:

emmabond@ctp.uk.com

Visit:

www.ctp.uk.com/rbm1711

Tel:

0330 303 9779

Course Outline & Objectives

Today, Compliance managers are under more pressure than ever to make sure they are targeting risks, and resources, as effectively as possible and adapting their monitoring to the changing regulatory environment.

"Very informative and engaging. Case studies prove very valuable."

Sapia Partners

Making extensive use of practical EXAMPLES, CASE STUDIES and EXERCISES, attending will help Compliance and Monitoring professionals identify the principle compliance risks in their business and design and execute a risk-based compliance monitoring plan accordingly

"Informative, interesting and well run ... would definitely return for another session."

Davy

Who will benefit?

This focused workshop has been designed to help less experienced **Compliance** and **Monitoring** staff develop their capabilities and skills and for more seasoned **Compliance Managers** to refresh and update their approach. It will also be of benefit to **Risk** and **Audit** professionals who wish to improve their knowledge of compliance risk management. Group size is limited to ensure the quality of learning and facilitate sharing of experience.

"Very practical tips and advice given; excellent case studies and examples."

Brit

Course Leader

Gary Pitts

Gary has 20 years' compliance experience in the UK and overseas, including spells with the Personal Investment Authority, Henderson Global Investors, Brevan Howard Asset Management, Religare Capital Markets and as a Managing Partner of Solo Capital Partners. He is a former director of Cayman and Luxembourg domiciled hedge funds, as well as regulated companies in the UK and South Africa and has been an FSA/FCA registered person in Controlled Functions 10 and/ or 11 since 2001 and now runs his own governance and regulatory consultancy: Tetractys Partners LLP. Gary is a regular conference speaker and author of technical articles on compliance related topics and sits on the regulatory advisory group of the *Journal of Securities Operations and Custody*. He brings a combination of compliance and commercial experience, in terms of both practical implementation and Board level oversight, to the training he delivers.

How to book

The course fee is **£595 per person + VAT**, including documentation and refreshments. A **10% discount** is available when registering 3 or more delegates.

There are various ways to register:

Website: www.ctp.uk.com/rbm1711
Email: emmabond@ctp.uk.com
Telephone: 0330 303 9779
Post: Complete and return booking form over page.

When booking please quote reference

RBWWEB

THIS PROGRAMME CAN ALSO BE ADAPTED AND DELIVERED IN-HOUSE.

For more information please visit: www.ctp.uk.com/rbm1711

Email: emmabond@ctp.uk.com Tel: 0330 303 9779

Course Programme

| Session | Objective | Content |
|---|---|---|
| The risk based monitoring approach | <i>Establish a common understanding of this term</i> | <ul style="list-style-type: none"> ■ The definitions of risk and compliance risk ■ The requirements for risk management ■ Compare the responsibilities of Risk, Audit and Compliance –drawing the boundaries |
| Latest regulatory developments in risk based monitoring | <i>Review the FCA's approach and explore how the regulator's techniques can be applied in your firm</i> | <ul style="list-style-type: none"> ■ Risk based approach ■ Current hot topics ■ How the risk register informs compliance ■ CASE STUDY: using the profile of a typical firm, identify key risks from a regulator's perspective |
| Researching the risks facing your firm | <i>Identify the data within the firm that will inform your monitoring regime</i> | <ul style="list-style-type: none"> ■ SYNDICATE EXERCISE: categorising compliance risks ■ Prioritising the likely areas of impact and likelihood ■ Building the rationale for your approach |
| Preparing the Monitoring Plan | <i>Know how to create a plan that will reflect risk priorities and drive out resource requirements</i> | <ul style="list-style-type: none"> ■ The structure of the plan ■ Defining KPIs and setting goals for the firm ■ Establishing activities and populations for monitoring ■ Deciding on the appropriate monitoring tools ■ Setting hurdle points for escalation of issues and changing of sampling levels ■ Estimating resources |
| Reporting results | <i>Structure a report format that effectively communicates the priorities</i> | <ul style="list-style-type: none"> ■ Typical contents of the report ■ Seeing the 'wood for the trees': layering information ■ CASE STUDIES: explaining the implications and recommending remedial actions |
| Remedial monitoring | <i>Respond to monitoring results and determine when to change the compliance plan.</i> | <ul style="list-style-type: none"> ■ When enhanced checking becomes appropriate ■ Setting and agreeing new targets and timescales ■ Gaining buy in for changes |

COURSE BOOKING FORM

Please post, fax or email completed form to addresses listed below.

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Thank you for registering to a CTP event. Once the completed booking form is received, your place/s will be reserved and you will receive confirmation by email. Joining instructions will be sent 2 weeks before the event date. Please note all **delegate fees are payable prior to the course**.

There is a 10% discount when registering 3 or more attendees. Please complete another form for additional delegates.

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| Course Title | RISK BASED COMPLIANCE MONITORING |
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| Date | 30 NOVEMBER 2017 | Event code | RBM1711 |
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| Delegate 2 | Mr / Mrs / Miss / Ms / Other | | Name | |
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| Delegate 3 | Mr / Mrs / Miss / Ms / Other | | Name | |
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Cancellations, Substitutions and Transfers. The following cancellation charges apply: 30+ days before the course date = no charge; 15-29 days before the course date = 50% of the course fee; 0-14 days before the course date = 100% of the course fee. If the registered delegate cannot attend, we shall be pleased to welcome a substitute at no extra charge – please advise us beforehand. If a delegate fails to attend without prior notification, the course fee is payable in full. Please note CTP is unable to accept any liability for non-attendance caused by severe weather or travel disruption. Requests to transfer to the next available course date may be accepted, subject to availability. The option to transfer is only available if received prior to the original course date, once the original course fee has been paid in full and to a course taking place within 12 months. Transfers made 1-30 days prior to the course date, will be charged at 25% of the course fee. For substitutions, cancellations and transfer enquiries, please contact info@ctp.uk.com

CTP is a trading style of Corporate Training Partnerships Ltd, registered in England and Wales (no. 04440798)

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