

*A focused and practical introduction or refresher for anyone seeking to develop or update their understanding of the UK regulatory framework and the key expectations of firms and individuals.*



# Foundation in FCA Regulation

14 March 2019 | City of London

9.30am to 4.30pm

## *In just one day:*

- Understand the **scope, powers and priorities of the FCA and PRA** and what this means in practice
- Recognise the **regulatory obligations on individuals and organisations** under both principles and rules
- Explore the scope and application of **key elements of the FCA Handbook**
- Review the FCA's approach to **discipline and enforcement**
- Examine the regulator's expectations relating to how you deal with customers - **TCF and conduct risk**
- Identify **current regulatory themes** and developments and how they may affect you and your firm
- Improve your knowledge of and ability to **manage regulatory risks** in your business



## CTP.

For more information

**Email:**

[emmabond@ctp.uk.com](mailto:emmabond@ctp.uk.com)

**Visit:**

[www.ctp.uk.com/fdn](http://www.ctp.uk.com/fdn)

**Tel:**

0330 303 9779

## Course Outline & Objectives

This focused, one day course will provide a clear and easily digestible overview of the new FCA regulatory framework (touching also on the role of the PRA) and highlight the key requirements for firms and individuals. ***The emphasis will be on the practical implications of the regulations in the day to day business environment.***

*"A great introduction to FCA for anyone new to compliance."*

Canada Life

## Who will benefit

This course will be of immediate and lasting value if you:

- Are new to the **Compliance** function
- Have **recently joined the financial services industry** and need to understand how regulation works
- Are moving to a **role requiring greater regulatory knowledge**
- Are in a **Risk** management function and need to assess the risks associated with regulation
- Have become an **Approved Person** and want to understand the bigger compliance picture.

*"Very informative and interesting course. Thoroughly enjoyed learning about the FCA regulation."*

Vanquis

## Training Approach

This workshop uses a combination of trainer input, syndicate work and case studies. Group size is kept to a maximum of 16 to facilitate a high quality learning experience.

## Workshop 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.

*"Course was very informative and trainer was very good."*

HSBC

## How to book

The course fee is **£675 per person + VAT**, including lunch and refreshments. A **10% discount** is available when registering 3 or more delegates.

There are various ways to register:

Website: **[www.ctp.uk.com/fdn](http://www.ctp.uk.com/fdn)**

Email: **[emmabond@ctp.uk.com](mailto:emmabond@ctp.uk.com)**

Telephone: **0330 303 9779**

Post: **Complete and return booking form over page.**

*When booking please quote reference*

**FCAWEB**

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

# Course Agenda

Session	Content
Introduction and review of developments in regulation	<ul style="list-style-type: none"> <li>■ How "Twin Peaks" is developing</li> <li>■ Context and direction of UK regulation</li> <li>■ Current and emerging themes and priorities</li> <li>■ "Intensive and intrusive, judgemental regulation" and credible deterrence</li> </ul>
Duties, powers, objectives and accountability of the FCA and PRA	<ul style="list-style-type: none"> <li>■ Responsibilities of the FCA</li> <li>■ FCA and PRA statutory objectives</li> <li>■ Competition role</li> <li>■ Enforcement, regarding promotions and product intervention</li> </ul>
Discipline, enforcement and credible deterrence	<ul style="list-style-type: none"> <li>■ Role of the Regulatory Decisions Committee</li> <li>■ Warning and decision notices</li> <li>■ Role of the Financial Services Tribunal</li> <li>■ Options available to firms when facing disciplinary action</li> <li>■ FCA approach to discipline and enforcement</li> </ul>
The FCA Handbook	<ul style="list-style-type: none"> <li>■ An insight into the structure and content of the FCA Handbook, its development and application</li> </ul>
High level requirements, including SYSC and Approved Persons	<ul style="list-style-type: none"> <li>■ Overarching requirements of regulated firms and key individuals</li> </ul>
Complaints and compensation arrangements	<ul style="list-style-type: none"> <li>■ Requirement for complaints procedures</li> <li>■ Financial Ombudsman Service</li> <li>■ Financial Services Compensation Scheme</li> </ul>
Supervision	<ul style="list-style-type: none"> <li>■ How the FCA supervises</li> <li>■ The Firm Systematic Framework</li> <li>■ Authorisations</li> <li>■ Permissions</li> </ul>
Risk control and current regulatory hot topics	<ul style="list-style-type: none"> <li>■ The FCA's expectations</li> <li>■ Product Development</li> <li>■ Incentives and Remuneration</li> </ul>
Training & Competence	<ul style="list-style-type: none"> <li>■ Importance of training and competence and what makes firms properly trained and supervised</li> </ul>
Financial Crime	<ul style="list-style-type: none"> <li>■ Overview of statutory obligations and appropriate controls</li> </ul>
Conduct Risk	<ul style="list-style-type: none"> <li>■ The FCA's conduct risk agenda</li> <li>■ Conduct Risk and Conduct of Business</li> <li>■ Key risks and pitfalls to avoid</li> </ul>
Culture and TCF	<ul style="list-style-type: none"> <li>■ Regulatory expectations of a firm's culture and treatment of customers</li> </ul>
Summary and how to succeed	<ul style="list-style-type: none"> <li>■ Key steps to ensuring ongoing compliance</li> </ul>

# COURSE BOOKING FORM

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

**CTP.**

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.*

<b>Course Title</b>	<b>FOUNDATION IN FCA REGULATION</b>																						
<b>Date</b>	<b>14 March 2019</b>					<b>Event code</b>	<b>FND1903</b>																
<b>Delegate 1</b>	Mr / Mrs / Miss / Ms / Other				Name																		
	Tel				Role																		
	Email																						
<b>Delegate 2</b>	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](mailto:info@ctp.uk.com)

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

Unit G4, Barratt House, Kingsthorpe Road, Northampton, NN2 6EZ

Tel: 0330 303 9779 | Email: [emmobond@ctp.uk.com](mailto:emmobond@ctp.uk.com) | [www.ctp.uk.com](http://www.ctp.uk.com)