



Preparing for your FCA Visit

12 June 2019 | Central London

9.30am to 12.45pm

If your firm is facing or likely to face the prospect of a regulatory visit, this focused half day seminar will:

1. Identify the regulator's key concerns and provide guidance on how to comply with them
2. Examine the FCA's approach to the visit
3. Highlight some current themes and hot topics in regulatory visits
4. Provide practical guidance on how to prepare for a regulatory visit
5. Help you prepare your senior management for regulatory interviews



CTP.

For more information

Email:

emmobond@ctp.uk.com

Visit:

www.ctp.uk.com/fcavisit

Tel:

0330 303 9779

Course Outline & Objectives

The UK financial services industry faces ever more intrusive regulatory scrutiny and tougher penalties for failures to comply. The FCA continues to focus on "credible deterrence" to ensure that financial services firms behave in accordance with its requirements. In keeping with this, regulatory visits of all types have become more stringent and more intrusive than ever before, with an increased likelihood of enforcement action, follow up work required and other regulatory interventions. Thorough and detailed preparation is key to a good outcome to the visit. Firms that prepare thoroughly tend to experience little or no difficulty, whereas those that do not prepare may face an uncertain outcome.

This focused course is designed to help you and your senior management know what to expect from a supervisory visit, how to prepare effectively and what steps you can take to have a positive influence on the visit itself.

"Very knowledgeable with good examples."

One Advice

Who will benefit?

This event will be of particular value to those whose firm is currently facing the prospect of a regulatory visit or might in the future. It is suitable for anyone who would benefit from learning more about the regulator's concerns and approach to supervision, particularly those responsible for **Senior Management** oversight or day-to-day operational functions, as well as anyone in the **Compliance** or **Legal** functions of the business.

"Great use of real life examples to make the learning more relevant."

LV=

Course Leader

Charlotte Hill is a financial services and regulation partner in the London office of Covington & Burling LLP. She specialises in advising financial institutions on regulatory and commercial matters. Charlotte has had considerable industry experience, having worked in the enforcement division of the regulator and subsequently as General Counsel at Threadneedle Investments. This industry experience is invaluable in providing clients with truly commercially focused advice. Her clients range from very large, multi-national conglomerates to specialist boutiques. Charlotte is recognised as a Leading Individual by Chambers UK, who note "her in-depth knowledge of the FCA" and "professional, responsive" approach, as well as Legal 500 UK. Charlotte regularly publishes articles on regulatory topics in a range of industry publications and speaks at both external conferences and seminars and in-house client training events.

"Extremely useful seminar." Makor Securities

How to book

The course fee is **£395 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/fcavisit**

Email: **emmabond@ctp.uk.com**

Telephone: **0330 303 9779**

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

When booking please quote reference

VISWEB

**THIS COURSE CAN ALSO BE ADAPTED FOR DELIVERY IN-HOUSE.
PLEASE CONTACT US FOR MORE INFORMATION.**

For more information please visit: **www.ctp.uk.com/fcavisit**
Email: **emmabond@ctp.uk.com** Tel: **0330 303 9779**

Seminar Agenda

Session	Content
1. The supervisory approach of the FCA	<ul style="list-style-type: none">■ The FCA's approach to the supervision of firms■ The FCA's "ten principles" of supervision■ The three pillar supervision model
2. What is the regulator looking for?	<ul style="list-style-type: none">■ Risks■ Systems, controls and procedures issues■ Senior management engagement■ The FCA's agenda
3. Senior management responsibility	<ul style="list-style-type: none">■ Senior manager's responsibility for compliance■ What involvement should senior management have?■ What is expected of senior management?■ Individual responsibility
4. Some current popular themes of regulatory visits	<ul style="list-style-type: none">■ Governance and risk management■ Capital and liquidity■ Market abuse■ Client money and assets■ MiFID preparation■ Conflicts of interest
5. Preparing for the visit	<ul style="list-style-type: none">■ The advance documentation request■ Dealing with problems caused by deficient documentation■ How to put together an effective documentation pack■ Preparation of people involved
6. Preparing for interview	<ul style="list-style-type: none">■ What the regulator is looking for■ How to prepare effectively■ "Do's" and "don'ts" in interview■ What might I be asked?

COURSE BOOKING FORM

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



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.

Course Title	PREPARING FOR YOUR FCA VISIT
---------------------	-------------------------------------

Date	12 JUNE 2019	Event code	VISWEB
-------------	---------------------	-------------------	---------------

Delegate 1	Mr / Mrs / Miss / Ms / Other	Name	
	Tel	Role	
	Email		

Delegate 2	Mr / Mrs / Miss / Ms / Other	Name	
	Tel	Role	
	Email		

Delegate 3	Mr / Mrs / Miss / Ms / Other	Name	
	Tel	Role	
	Email		

Company Name			
---------------------	--	--	--

Address		Invoice Address (if different)	
----------------	--	---------------------------------------	--

--	--	--	--

Post Code		Post Code	
------------------	--	------------------	--

Booking Contact (if different)			
---------------------------------------	--	--	--

Tel		NB:	
------------	--	------------	--

Email		Purchase Order No / Vendor No	
--------------	--	--------------------------------------	--

Payment details	I authorise you to debit my account with the amount of £	inc VAT
------------------------	--	---------

I wish to pay by	<input type="checkbox"/> Mastercard	<input type="checkbox"/> Visa	Please invoice <input type="checkbox"/>																				
Card Number	<table border="1"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table>																						
Expiry date	<table border="1"> <tr> <td></td><td></td><td></td><td></td> </tr> </table>						CVC code (printed on back of card) <table border="1"> <tr> <td></td><td></td><td></td><td></td> </tr> </table>																

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)

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

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