



Best Practice Approaches to Product Development, Governance & Oversight for Insurance, Deposit Taking and Lending Firms

15 October 2019 | City of London

9.30am – 4.30pm

This practical one-day course will help Product and Compliance specialists effectively address this important area of conduct risk.

Specifically, attending will help you:

- Understand **what the FCA now expects** in terms of product development and governance
- Benchmark your approach against **best practice in product management** from concept to launch
- Manage distribution risks and **provider / distributor responsibilities**
- Identify the **MI required to manage product risk**
- **What the Board needs to know and when**
- **Demonstrate ongoing responsibility and oversight** for your products, especially in relation to TCF
- Test your interpretation and application of FCA rules and guidance in **product governance case studies and exercises**



CTP.

For more information

Email:

emmabond@ctp.uk.com

Visit:

www.ctp.uk.com/product

Tel:

0330 303 9779

Outline & Objectives

The FCA has placed 'conduct risk', and product development and governance issues in particular, at the heart of its focus and activity as a regulator and is determined to take a proactive and interventionist approach. Accordingly, it is particularly important firms can provide evidence of appropriate control over the product development process and so avoid the possibility of the regulator using its new powers of intervention. On top of this, the Markets in Financial Instruments Directive Mark II enshrined the same product development regime into European Law in early 2018 and this is a theme that regulators worldwide now have firmly on their agenda.

This practical one day course is designed to help those responsible for product management and compliance in financial institutions make sure their product development and ongoing oversight framework and procedures meet FCA requirements in this critical area of conduct risk.

"Well delivered course on a topic that should be a top priority for regulated organisations"

Together

Who will benefit?

This focused course will benefit anyone with **Product Development, Governance, Oversight or Compliance** responsibilities in Banks, Building Societies, Insurance and Lending firms..

Training Approach

This workshop uses a combination of trainer input, knowledge sharing with interactive syndicate work and case studies. Group size is limited to facilitate sharing of experience amongst the delegates.

Course Presenter

Adam Samuel

Adam is a compliance specialist and lawyer who has spent much of the last 20 years advising firms from major banks to small one-man firms on conduct related issues. Qualified as a lawyer on both sides of the Atlantic and proud holder of an AFPC and CISI compliance diploma, Adam wrote the only major book on financial services complaint handling in 2005. His expert evidence on investment risk and compliance has been accepted by the English High Court and the Gibraltar Supreme Court.

"Great sense check and bench mark of current and expected practice"

HSBC

How to book

The course fee is **£675 per person + VAT**, including 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/product**

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

Telephone: **0330 303 9779**

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

When booking please quote reference

PGWEB

"Thoroughly enjoyable course re-confirming our approach...thank you."

Saffron Building Society

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

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

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

Course Programme

Session	Objective	Content
Introduction	<i>To review the regulator's interest and approach to the product development process and identify the key areas of concern</i>	<ul style="list-style-type: none"> ■ Origins of product regulation ■ The FCA's powers over products ■ The RPPD guide ■ Principles for Business 6 and 7
Product oversight and governance	<i>To know how to evidence effective oversight of products</i>	<ul style="list-style-type: none"> ■ The product approval process ■ Constitution of the approval team ■ The role of the Board ■ Maintaining an ongoing review function
The product development process	<i>To identify best practice approaches to product development from concept to launch</i>	<ul style="list-style-type: none"> ■ Identifying the product market ■ Stress testing ■ Identifying and meeting customer expectations
Distribution	<i>To consider the issues regarding responsibility and control in product distribution</i>	<ul style="list-style-type: none"> ■ Regulatory issues regarding distribution ■ Provider / distributor relationships and responsibilities ■ Financial Promotions and documentation issues ■ Training
Making effective use of MI	<i>To determine what information is commercially useful and what is a regulatory requirement</i>	<ul style="list-style-type: none"> ■ What MI is required and when
Post-sale oversight into the future	<i>To demonstrate ongoing responsibility throughout the product lifecycle</i>	<ul style="list-style-type: none"> ■ Monitoring and reviewing products ■ Controlling changes ■ When to exit ■ Build your product: decide on the governance and processes required

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	PRODUCT DEVELOPMENT, GOVERNANCE & OVERSIGHT
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Date	15 October 2019	Event code	PGWEB
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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	
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Company Name	
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Address		Invoice Address (if different)	
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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

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

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