



Understanding your Responsibilities under the Senior Managers Regime

1.45pm to 5.00pm | 18 March 2020 | City of London

*This focused half day seminar is specifically designed to help **Senior Managers**:*

- **Make sure you are fully aware of your regulatory obligations**, now and under the new Senior Manager Regime
- **Understand regulatory priorities and expectations**, especially in key areas such as governance, risk management, culture and conduct risk
- **Consider how to maintain and demonstrate ongoing competence**
- **Highlight and avoid common compliance pitfalls and problem areas**
- **Know what to expect from regulatory interviews and visits**



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

Outline & Objectives

Ever since assuming their powers in 2013, the PRA and FCA have clearly signalled, and acted upon, their intention to subject senior management to a more intense and intrusive level of scrutiny. They have now introduced the new Senior Managers & Certification Regime initially for some firms already and have now extended a version of it across all regulated firms.

While implementation of the new regime may be complex, the consequences of failing to comply with the enhanced requirements are likely to be damaging for the approved individual and highly disruptive for the organisation.

This practical course will help Senior Managers understand their obligations now and in the future and ensure and maintain ongoing compliance under SMCR.

"A very well structured course, which was very well presented and engaging from start to finish"

Price Forbes

Who Will Benefit?

This event will be of value to individuals falling under the scope of APER or SM&CR or about to become so. It will also be of interest to those responsible for managing or supporting SIFs and Senior Managers. This programme is particularly useful ahead of a regulatory visit or as part of the induction for senior managers. *(We offer an alternative course for Senior Insurance Managers: please contact us for details.)*

Training Approach

This course will lecture style presentations with practical examples and exercises. Delegate numbers will be limited to ensure a high-quality learning environment combine.

Workshop Leader

Gary Pitts

Gary has 30 years of compliance experience, including spells as a regulator and working in leading asset management, investment banking and hedge fund organisations. He is a former director of Cayman and Luxembourg domiciled hedge funds, regulated companies in the UK and South Africa, has been an FSA/FCA registered person in Controlled Functions 10 and/or 11 since 2001 and now runs his own regulatory and governance consultancy, Tetractys Partners LLP. Gary is a regular conference speaker and author of technical articles on compliance-related topics, sits on the regulatory advisory group of the Journal of Securities Operations and Custody and holds Masters degrees from Oxford and London Universities and an MBA from the Open University Business School. He brings a combination of compliance and commercial experience, in terms of both practical implementation and Board level oversight, to the training he delivers.

"Well presented, interactive and helpful"

Hermes

How to book

The course fee is **£395 per person + VAT**, including lunch and refreshments. A **10% discount** is available when registering three or more delegates.

There are various ways to register:

Website: www.ctp.uk.com/smr

Email: emmobond@ctp.uk.com

Telephone: 0330 303 9779

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

When booking please quote reference

SMRWEB

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

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

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

Understanding your Responsibilities under SM&CR and APER

Course Programme

| Session | Content |
|---|---|
| Senior Managers and Approved Persons: the regulatory framework and approach | <ul style="list-style-type: none">■ The regulatory structure and mandate■ The key regulatory requirements for Senior Managers and what this means in practice■ New developments under the FCA/PRA■ Outcomes focussed regulation backed by “credible deterrence” strategy |
| Senior Managers & Certification Regime | <ul style="list-style-type: none">■ Core, Limited scope and enhanced firms■ Senior Management Functions■ Responsibility maps and statements of responsibility■ Certification requirements■ Conduct Rules■ Enhanced Fitness and Propriety requirements■ Competence requirements■ Recruitment■ Transitioning from APER to SM&CR |
| Risk systems and controls | <ul style="list-style-type: none">■ Systems and controls in key areas■ Risk management and what the regulators will be looking for■ Key elements of good governance■ Remuneration and risk■ Common problem areas |
| Regulatory hot topics | <ul style="list-style-type: none">■ Experiences under the PRA and FCA■ Regulatory developments■ Oversight and Controls■ What to expect from regulatory visits |

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.

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| Course Title | | SENIOR MANAGERS REGIME | | | | | | | | | | | | | | | | | | | | | |
| Date | | 18 March 2020 | | | | | | Event code | | SMRWEB | | | | | | | | | | | | | |
| 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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Cancellations, Substitutions and Transfers. The following cancellation charges apply: 15+ days before the course date = no charge; 1-14 days before the course date = 100% of the course fee or you may transfer under the terms listed below. If the registered delegate cannot attend, they may send 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 accepts no liability for non-attendance caused by 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 1-15 days prior to the course date, will be charged an administration fee of £50 plus VAT. For substitutions, cancellations and transfer enquiries, please contact info@ctp.uk.com.