

# Preparing for Your FCA Visit

9 March 2022, 9:30am to 12:45pm Remote delivery

Course fees: £395.00 + VAT per person

*Savings available for multiple registrations*

## 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.

*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

**CPD  
3 hours**

## 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=**

## Training Approach

This course will be delivered via a real time slide-sharing and live audio-visual platform, accessible by desktop computer or laptop. Delegate numbers will be limited to ensure a high quality learning experience.

*"Thank you for arranging this course. I found the content, pace and style incredibly engaging, useful, pragmatic and practical. I definitely learnt a lot!"*

## The Private Office

## Course Leader

**Charlotte Hill** is a financial services and regulation partner in the London office of Taylor Wessing LLP and 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**

## Course Programme

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

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