

Foundation in FCA Regulation

Course outline and 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.

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 or are about to become a Senior Manager and want to understand the bigger compliance picture

Dates and Fees

Face to Face (London)

29 March 2023
09:30 to 16:30
£849 + VAT

Live Online

4 & 5 July 2023
09:30 to 12:45 each day
£745 + VAT

***Savings available for
multiple registrations***

To book

Visit:

www.ctp.uk.com

Email:

emmabond@ctp.uk.com

Call:

0330 303 9779

Training approach

The course programme will comprise a blend of trainer presentations, group discussion, practical examples and case studies. There will be ample opportunity for questions, experience sharing and networking. All course materials (and at face-to-face events, refreshments and lunch) will be provided.

As an overview/introduction this course was brilliant and provided so much food for thought. Even working for a firm who are well versed, I feel it has added value to the company and I'm definitely more aware now.

Leaseplan

Course Leader

Gary Pitts has over 25 years of compliance experience in the UK and overseas, including spells in regulation, asset management, investment banking and as managing partner of a boutique financial services house.

He was a director of Cayman and Luxembourg domiciled hedge funds, as well as regulated companies in the UK and South African has been an FSA/FCA registered person in Controlled Functions 10 and/or 11 since 2001. He 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.

I found the event extremely informative and well presented and it captured all of the key knowledge areas I want to expand on.

Cumberland Building Society

Course Programme

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

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