

Effectively Communicating Compliance

Course outline and objectives

Communication, communication, communication. In any areas of our lives - whether professional or personal - communication is fundamental. Get it right and many difficulties can be avoided. Get it wrong and a whole host of issues will arise.

What makes good communication? How do we develop our professional compliance practices to avoid unnecessary difficulties? How can we effectively communicate to ensure good outcomes?

Through a series of topics, small group discussions and plenary feedback, this course aims to provide practitioners with the platform and opportunity to discuss with industry colleagues these vital and challenging issues. Having completed this roundtable seminar, individuals will be better equipped to identify strengths and weaknesses in the current practices, and to have strategies to address key areas identified as needing improvement.

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.

Who will benefit?

Anyone responsible for or involved in compliance (policies, implementation, strategic planning etc) within a financial services organisation.

Dates and Fees

Live Online

13 June 2024
09:30 to 12:45
£325 + VAT

*Savings available for
multiple registrations*

To book

Visit:
www.ctp.uk.com

Email:
emmabond@ctp.uk.com

Call:
0330 303 9779

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The
Training
Environment

Attending this focused half day course will help you:

1. Understand key features of **good communication**
2. Recognise and adopt **excellent communicative strategies**
3. Develop **clear messaging**
4. **Identify** audience and **target** communication
5. **Build resources** using internal and external materials
6. Examine **strategies and approaches** for effective communication

Course Leader

Steven Martz is a consultant and training practitioner with over 10 year's experience in the financial sector. He consults on risk, compliance and operations with a particular focus on implementing change across regulations, systems and processes. He has held SMF16/17 functions in investment management and authorised fund management firms. In addition, he delivers training in compliance and operations, and is a teaching fellow at the University of Edinburgh where he delivers courses in philosophy. He holds a PhD from the University of Edinburgh.

Course Programme

Session	Content
Introduction & Overview	<ul style="list-style-type: none"> • Talking about communication
Frontline Experiences	<ul style="list-style-type: none"> • Interactive plenary discussion
Timely	<ul style="list-style-type: none"> • Proactive • Key dates and broad roadmap • Updates
Relevance	<ul style="list-style-type: none"> • Know your audience • Targeted messaging • Impact on departments and individuals
Simplicity	<ul style="list-style-type: none"> • From technicalities to understanding • Key messages and highlights • Sign-posting
Resources	<ul style="list-style-type: none"> • Accessible and central • Policies – summaries and introductions • Leveraging external sources
Small Group Discussion	<ul style="list-style-type: none"> • Key themes • Common experiences • Challenges
Strategies & Approaches	<ul style="list-style-type: none"> • Guiding and leading • Ownership and responsibility • Summary – Best practice

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