

The Senior Managers & Certification Regime – *Assisting with implementation*

17 September 2019, Addleshaw Goddard, London



The Senior Managers and Certification Regime (SM&CR) is arguably the biggest regulatory change for FLA members since the transfer to FCA regulation over 5 years ago. As the near final rules were published in summer 2018, firms should now be well into their preparations for implementation. This is a good time for members to take stock of their progress so far and check if they are on the right ‘track’.

This one day conference will provide a very practical overview of where firms should ideally be now, what still needs to be done prior to the 9 December 2019 deadline, as well as assistance in prioritising action over the next few months.

The programme includes:

- The FCA's views on the new regime
- Key areas of focus: Statements of Responsibilities; Prescribed Responsibilities; Responsibilities Maps; Certified Functions; Updating Systems
- Effectively embedding a SM&CR Culture
- Organisational training on the Conduct Rules
- Future proofing SM&CR implementation
- Avoiding pitfalls and what works well

Please note: all FLA events are subject to the application of competition law. Details will be available on the day and are included in the booking form.

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Programme

9.00 Registration and Coffee

10.00 Chairman's Introduction

Paul Young

Managing Director

BRS, Grant Thornton UK LLP

10.15 The Regulator's View: Introducing the new regime

- Culture & Governance
- Intended regulatory outcomes
- Moving to the new regime
- Lessons from the banks who've gone before
- Ongoing responsibilities

David Blunt

*Head of Department / Conduct Specialists /
Supervision and Executive in charge of SM&CR
FCA*

10.45 SMCR – Action required

- Statements of responsibilities
- Identifying Certified Persons
- Fit and proper assessments
- Conduct Rules - Training staff

Noline Matemera

*Partner, Financial Services Regulatory
TLT LLP*

11.15 Coffee Break

11.45 Operationalising SM&CR

- Where are you now versus where you need to be
- Managing SM&CR activities into BAU
- Future proofing your SM&CR implementation

Julie Pardy

*Director of Regulation and Market Engagement
Worksmart*

12.15 Lessons from Phase 1

- How we can learn from first time around?
- Effective preparation and reasonable steps
- Avoiding pitfalls and what works well
- Typical queries that firms are asking

Simon Collins

*Managing Director, Financial Services
Konexo, a division of Eversheds Sutherland*

12.45 Lunch

13.45 Effective conduct & culture

- Behavioural psychology behind SM&CR
- Assessing current conduct and culture
- Measuring future conduct
- MI required

Dr Roger Miles

*Senior Consultant
BP&E Global Ltd*

14.15 Ongoing compliance (BAU)

- Regulatory References
- The Directory
- FCA Supervision/enforcement – reducing the risk
- FCA enforcement action so far

Sarah Herbert

*Compliance Director
Addleshaw Goddard LLP*

14.45 Top Tips - How to successfully implement SM&CR

Simon Morris

Partner

CMC Cameron McKenna Nabarro Olswang LLP

15.15 Chairman's Summary

15.30 Event ends

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Please register the following delegate(s) for the above event.

BOOKING DETAILS - PLEASE USE BLOCK CAPITALS

Company name: _____

Contact name: _____

Job title: _____

Address: _____

Postcode:

Telephone: _____

Email: _____

DELEGATE 1

First name: _____

Surname: _____

Company: _____

Job title: _____

Telephone: _____

Email: _____

Your special needs or dietary requirements: _____

DELEGATE 2

First name: _____

Surname: _____

Company: _____

Job title: _____

Telephone: _____

Email: _____

Your special needs or dietary requirements: _____

DELEGATE 3

First name: _____

Surname: _____

Company: _____

Job title: _____

Telephone: _____

Email: _____

Your special needs or dietary requirements: _____

DELEGATE 4

First name: _____

Surname: _____

Company: _____

Job title: _____

Telephone: _____

Email: _____

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To register please complete this form

Phone: Jon Dear on +44 (0)20 7420 9623 Fax: +44 (0)20 7420 9631

Web: www.fla.org.uk

Email: events@fla.org.uk

Post: Jon Dear, FLA, Imperial House, 8 Kean Street, London WC2B 4AS

COURSE FEES

FLA Member's fee per delegate: £395 + VAT

Non-FLA Member's fee per delegate: £595 + VAT

PAYMENT: Upon registering you will be sent an invoice; payment is required before attending the event.

Please invoice

Provide purchase order no:

Payment by cheque

You can also book online at www.fla.org.uk where you will have the additional option to pay by credit card.

Cancellations all cancellations must be made in writing via email to events@fla.org.uk. Cancellations received more than 30 days prior to the start of the course will incur an administrative charge of £70.00 + VAT per delegate. There is no refund on cancellations made within 30 days of the course start date.

Transferring from one course to another is treated as a cancellation.

You may substitute one delegate for another at no additional cost. Notification must be received in writing by noon of the business day prior to the start of the course.

Data Protection: The Finance & Leasing Association will use the data you provide to process your course registration. We would also like to keep you informed (by post, telephone, email or fax) of other FLA training courses, products and services. If you would like us to send you details of future events, please tick this box:

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