

Managing Conduct Risk

20 May 2019



A practical one day course for managers and staff who need to understand and successfully address the regulatory issues and business challenges of Conduct Risk within their sector

Key Learning Objectives:

- Confirm your understanding of the current regulatory landscape in the UK and specifically the FCA's approach to Conduct Risk
- Understand what Conduct Risk is, and how it can manifest itself within businesses
- Consider the nine Conduct Risk drivers and what you can do to mitigate these
- Discuss and debate the Conduct Risks identified by the FCA within the Consumer Credit and Mortgage industries and consider them in the context of your firm
- Know the key business functions that are affected by Conduct Risk and be able to define typical risks that might exist in each area
- Explain the individual responsibility and accountability to the current Conduct Risk agenda based on the regulatory status of the individual

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 Overview



9.30 Registration

10.00 Getting up to speed with the FCA's current approach to Conduct Risk

- FCA – Strategic & Operational approach
- FCA Conduct Risk Outlook
- The year ahead – Themes & Events
- Historically identified Conduct Risks, crystallisation and regulatory action

10.45 Conduct Risk under the microscope

- What is Conduct Risk?
- Why is the FCA so focused on it?
- What do they see as the key conduct risks for the financial services market place in 2017/18?
- What are the key risks for your sector?

SYNDICATE EXERCISE 1

11.45 Tea/Coffee Break

12.00 Conduct Risk – The component parts

- What areas of your business are touched by Conduct Risk?
- Different risks, different business areas?
- Different risks, different approach?
- Different business models, different framework?
- The behavioural impacts of Conduct Risk

SYNDICATE EXERCISE 2

13.00 Lunch

13.45 The individual and collective responsibility for Conduct Risk management

- As an individual, what responsibilities do I have?
- How am I impacted if I am a Controlled Function Holder?
- What further impact will there be on the individual when the new Senior Management Regime and Certification Regimes are introduced to the investment sector?

14.30 Culture and the impact on Conduct Risk

- What is culture?
- How does it become defined within a business?
- What impact does leadership actions have on culture?
- How do we know when we have our culture is negatively impacting our business?

CASE STUDY 1

15.15 Conduct Risk & MI

- What MI should I have?
- What MI must I have?
- How and to whom should this be presented?

CASE STUDY 2

15.45 Course Summary & Close

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The course is aimed at Consumer Credit and Mortgage firms and all staff that operate in areas that contribute to conduct risk within the organisation, or provide oversight to it. It will provide an introductory to intermediate level of understanding, and have wide appeal across the business to both managerial and technical staff.

It will also be useful as a refresher for all staff that have experience in this area, but would like to review their current understanding of conduct risk and the FCA's current approach to it.

The programme will be of particular interest to personnel working in or engaged with:

- Compliance
- Operations
- Human Resources and Training
- Organisation and Change Management
- Corporate Governance
- Risk Management
- Marketing and Sales
- Product Development
- Corporate Communications

In-house delivery option

This programme can also be delivered in-house. The FLA offers bespoke, tailored training solutions that help you achieve your business development objectives. The FLA training team specialises in facilitating change and turning strategic intent into tangible business results.

What we can do for you:

- Design a bespoke programme that meets your organisation's specific development goals and objectives
- Design training as a one-off exercise, or on a repeated basis as part of your company's development curriculum or company-wide courses, or as part of a major change programme
- Personalise our approach by incorporating your corporate culture and goals
- Provide complete flexibility with regard to location and timings
- Offer differing course levels to cater for the varied experience levels of your staff

For more detailed information regarding any in-house training please contact Jon Dear on 0207 420 9623 or email training@fla.org.uk

Julie Pardy has been operating in the Financial Services market place since 1988. For the last 9 years Julie has provided regulatory and training support to businesses across the whole financial services spectrum.

Having spent the last 4 years as a Partner at FSTP LLP, the specialist Training & Consulting firm for Financial Services, Julie has a keen interest in Conduct Risk and Culture. Creating and delivering training events on this topic for the partnership, Julie regularly uses this knowledge to help firms identify and manage key risks.

Specialising in FCA regulation with a focus on Conduct Risk, Training & Competence, Approved Persons Responsibilities, Behavioural Economics, Authorisations and Variation of Permissions, and most recently helping the banking community implement the new Senior Managers Regime in Banking, Julie has helped many firms and their employees meet their own regulatory responsibilities.

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

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:

Your special needs or dietary requirements:

To register please complete this form

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

Web: www.flatraining.org.uk Email: training@fla.org.uk

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

COURSE FEES

FLA Member's fee per delegate: £465 + VAT

Non-FLA Member's fee per delegate: £625 + 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 training@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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