



# Director's Guide to Surviving a FCA/PRA Visit

**Will your firm withstand the regulator's scrutiny? Will you personally? This short course will help you get prepared for the toughest of questions.**

## Core Details

10am — 12.00pm  
City of London

 2 CPD Hours

## To Book

*Call*  
+44 (0)204 551 8568  
(Please choose option 2)

*Email*  
info@thezishi.com

*Online*  
thezishi.com

## Your Consultant **Simon Griffiths**

Simon's professional background covers financial management, corporate treasury and risk management. His experience has been gained across a number of industry sectors including banking, publishing, IT, retail and manufacturing. During the last 14 years Simon has held a number of senior positions within the retail and commercial banking sector.

Simon became an independent trainer, consultant and lecturer in 2015 and his current areas of interest include enterprise risk management, regulatory compliance and corporate governance.

The regulator is about to knock on your door. Your firm and your senior team will likely come under intense scrutiny. Are you prepared?

For many firms this is a very stressful time, with senior executives feeling the pressure across all sectors. That's because the PRA and FCA have focused their attention on the leaders of financial firms.

**Many executives have already experienced this increased rigour, some very publicly.**

- Section 166s and enforcement actions are up on last year
- The FCA has new Threshold Conditions and stronger statutory powers
- Parent companies of regulated subsidiaries now face tougher controls
- Judgement based supervision means it's harder to predict regulator behaviour
- And the repercussions of compliance failures are more severe

Surviving a regulator's visit is now more difficult than ever. But with expert insight and smart preparation, you can make it much easier.

**So join us for this fast-paced, highly practical two-hour executive briefing:**

- Determine how ready your firm is for a PRA/FCA visit
- Learn what you can expect from the visit (including actual questions asked)
- Anticipate who in your firm is most likely to be interviewed
- Predict what client activities they may want to monitor
- Understand current hot topics and how they'll influence your visit
- Be prepared for any question the regulator throws at you
- Understand the risk of receiving a s166 order

**Essential training, packed with value**

**Be prepared for anything** – If you've experienced an FCA or PRA visit in the past, you'll know just how tough these sessions can be. Instead of hoping for the best, this course helps you prepare for the worst.

**Learn to answer tough questions** – Firms focus on what questions the



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regulator may ask, but often neglect to adequately prepare answers. We give you real-life examples on how to respond so you clearly demonstrate your responsibilities under Principle 11.

## Cost

**£295 / person + VAT £354**

*A discount of 10% per person is available when booking for 2 or more delegates on the same course in a single booking.*

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## In-house Course?

*This course works well as an in-house event, contact us to discuss your needs on 0204 551 8568 or email info@thezishi.com*



ZISHI Cornerstone



The CPD Standards Office  
CPD PROVIDER: 21020  
2016 - 2018  
www.cpdstandards.com



**Identify your weaknesses** – Gain valuable insight to help you spot compliance gaps in your firm, so you can get back to the office and close them before the regulator visits.

**Avoid last minute stress** – We help you think smartly and get prepared for an impending visit from the regulator. Instead of frantic, last minute panics you'll take a calmer, more measured approach.

**Use your resources more efficiently** – Return to the office with a much clearer understanding of which systems and processes need your attention, allowing you to more efficiently allocate valuable time and effort.

## Agenda

Session	Learning Outcomes
<b>The PRA/FCA's powers and approach</b>	<ul style="list-style-type: none"> <li>• The regulator's statutory powers</li> <li>• The new Threshold Conditions</li> <li>• The effect of the supervisory approach</li> <li>• What information is being requested of firms?</li> <li>• A reminder of SIF responsibilities</li> </ul>
<b>Analysing high risk areas</b>	<ul style="list-style-type: none"> <li>• Corporate governance standards</li> <li>• Your business strategy: realistic, sustainable and clear?</li> <li>• Risk management: its efficacy (with emphasis on risk management, not simply risk measurement)</li> <li>• A brief look at over 60 (yes, sixty) conduct risks</li> <li>• Independence and objectivity of audit, compliance &amp; risk management functions (including the parent group)</li> <li>• Culture, ethics, and SIF fitness and competence</li> </ul>
<b>Preparing for a regulatory interview</b>	<ul style="list-style-type: none"> <li>• Clearly articulating your business and its model</li> <li>• Explaining your levers of control</li> <li>• Learn interview 'dos and don'ts'</li> <li>• Management Information – How is it used and what is it telling you?</li> <li>• Understanding your "3 Lines of Defence"</li> <li>• Critically self-assess your RMP</li> </ul>

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