



Regulation and Compliance – the Fundamentals for General Insurance

Core Details

9.30am — 5.00pm
City of London



6 CPD Hours

To Book

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

Email
info@thezishi.com

Online
thezishi.com

Your Consultant Nindy Mellett

Nindy has over 20 years' experience in financial services. She spent six years at the FCA, initially joining the policy team and drafted papers focussing in the Insurance Conduct of Business Sourcebook (ICOB5). Moving to GI Supervision, she was responsible for the risk management process, and contributed to a number of regulatory change projects. As a consultant, Nindy's technical experience and insight into regulatory expectations combined with her practical approach and passion for training ensures that audiences are engaged in lively and thought provoking sessions. Nindy specialises in supporting clients in projects of regulatory change. She has provided assurance on the implementation of IDD and is currently providing advisory assurance and training on SM&CR.

Get to grips with complex regulation and protect you and your firm from regulatory failures

The buying public's confidence in the Financial Services industry was shattered by a series of scandals that emerged during the 'noughties'. As a result, Governments have introduced comprehensive and radical regulation as a way of rebuilding trust.

For small businesses the scope of the new rules can seem daunting, and for new staff in the sector it's hard to know where to begin.

But poor compliance causes more than just a regulatory headache. It can ruin a firm's reputation, devastate its balance sheet and cause untold harm to consumers. Breaking the rules can also lead to personal liability (at all levels in the firm).

This **intensive, hands-on course** will help you get your head around the fundamentals, giving you a thorough grounding in UK financial services regulation, particularly in the area of insurance. You'll learn to **think like a regulator, and to avoid making compliance mistakes. Get expert guidance on:**

- The UK's regulatory structure
- The Senior Managers and Certification Regime (SM&CR)
- The 'new' Conduct of Business rules (Tiers 1 and 2)
- Financial crime issues including anti-money laundering and bribery
- Changes to the Client Assets Sourcebook
- Complaints and redress procedures

This practical course is of particular value to new starters in the insurance sector, or those who simply wish to extend their understanding of this important aspect of professional life.

Grasp the key regulatory issues quickly

The sheer scope of the UK's regulatory authorities can be overwhelming. We've done the hard work for you by identifying the most important features of the system; saving you time and helping you avoid costly mistakes down the road.

Stay one step ahead – Regulation is constantly changing, and it's easier than you might think to break the rules. Make sure you're protected with the latest regulatory advice from our experts.



Regulation and Compliance – the Fundamentals for General Insurance

Cost

£595 / person + VAT £714

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



Work with greater efficiency – Getting to grips with regulatory issues now means you'll avoid last-minute panics. You'll spend less time trawling through regulations and more time adding value to your firm.

Learn what applies to you – As an employee of a financial services firm, you could be liable for heavy financial penalties, lawsuits and accusations of misconduct. Minimise that risk by making sure you're on top of your responsibilities.

Get on the fast track to success – Even if you're new to financial services, it's never too soon to be thinking about personal development. A detailed understanding of the regulatory landscape will give you the technical skills to match your ambition.

Safeguard your firm (and its reputation) – Compliance can make or break even the biggest of businesses. There's no exception to that rule. Arm yourself with the knowledge you need to protect your firm, and make sure its reputation stays spotless.

Agenda

Session	Content
The structure of regulation	<ul style="list-style-type: none"> • An introduction to regulation • The Financial Services and Markets Act 2000 • The FCA and PRA • Regulated activities and insurance • An overview of the principles for businesses • Senior management systems and controls
Authorisation	<ul style="list-style-type: none"> • Understand the routes to authorisation • Learn who can be excluded from authorisation
The FCA's approach to regulation	<ul style="list-style-type: none"> • Statutory and operational objectives
FCA key communications	<ul style="list-style-type: none"> • Business Plan and Sector views • Mission Statement and Approach documents

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Review of recent studies and interventions	<ul style="list-style-type: none"> • Thematic reviews • Market Studies • Policy interventions • Enforcement cases
SM&CR	<ul style="list-style-type: none"> • What is SM&CR? • How do the approval and certification processes work? • What is the Fit and Proper Test? • The Conduct rules
Insurance Conduct of Business rules (ICOBS)	<ul style="list-style-type: none"> • An introduction to ICOBS • Background to IDD • Overview of key chapters of ICOBS • Product Oversight and Governance
Client money rules	<ul style="list-style-type: none"> • The Client Assets Sourcebook (CASS) • Accountability and record-keeping
Complaints, enforcement and redress	<ul style="list-style-type: none"> • What is a complaint? • Understanding procedures and timescales • The Financial Services Compensation Scheme • The Financial Services Ombudsman • Penalties
Money laundering	<ul style="list-style-type: none"> • What is money laundering? • Legislation and offences • Carrying out due diligence
Recent developments	<ul style="list-style-type: none"> • Expert guidance on the latest announcements, consultation papers and enforcement