

COURSE OUTLINE:

# Introduction to the UK Regulatory Environment

0.5 day  
4 CPE Credits

## Overview

A half day day course providing an overview of the regulation of financial services in the UK

This fast paced and interactive course aims to equip delegates with the skills and knowledge they need to begin working in the UK financial services industry. It is suitable for those with limited knowledge of UK regulation, perhaps because they are new joiners or operate in a different jurisdiction. The subject matter is brought to life by the use of regulatory speeches, real enforcement cases and current financial news, to illustrate to delegates how important it is to be able to understand and effectively navigate UK regulatory requirements, whatever their job function.

## Learning Objectives

At the conclusion of the course delegates will:

- » Be able to explain the overarching UK regulatory structure governing financial services firms
- » Understand the differing remits of the PRA and the FCA
- » Have an overview of the current UK regulatory agenda, with its emphasis on culture and conduct risk
- » Know the difference between how the regulators supervise firms versus individuals
- » Be able to put the UK Regulatory environment into a European and International context

## Who Should Attend

This is a course that is suitable for all those who have an interest in financial services regulation in the UK, including:

- » New entrants to the financial services industry, in banks, insurers or investment firms, in the front office, compliance, risk, internal audit, human resources and other operational functions.
- » Oversees persons with links to the UK financial system who wish to know more about how it operates

## Program Level

**Program Level:** Beginner

**Prerequisites:** None

**Advanced Preparation:** Research documents will be provided giving background for the case studies that will be used during the course

**Delivery Method:** Group-Live

## Accreditation

Moody's Analytics is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE Sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website: [www.nasbaregistry.org](http://www.nasbaregistry.org).

## WHY MOODY'S ANALYTICS?

### Current and Consultative

Our seminars are created and updated utilizing the extensive experience, skills and research of Moody's Analytics. For in-house training, we work with you to understand the distinct needs of your organization and design, implement, and track the performance of your learning programs from end-to-end, including skills assessment, program design, implementation, evaluation, and enhancement.

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### Unparalleled Expertise

Our training solutions leverage over a century of experience in risk assessment and the comprehensive tools, data, and analysis of Moody's Analytics to deliver timely, in-depth, and comprehensive knowledge. In delivery, our people make the difference – they combine deep experiences as financial practitioners, intellectual passion for the content, and superior academic credentials with a commitment to delivering outstanding quality.

# Introduction to the UK Regulatory Environment – Agenda

## Session 1: The current regulatory agenda

- » The impact of the global financial crisis on regulation
- » International regulatory influences: G20 and The Financial Stability Board
- » Conduct risk and culture
- » Personal liability

## Session 2: The UK Regulators

- » The regulatory perimeter and regulated activities
- » The Prudential Regulation Authority: powers, role and remit
- » PRA's objectives
- » The Financial Conduct Authority: conduct of business regulation
- » FCA's objectives

## Session 3: Authorisation of firms

- » Threshold Conditions
- » Principles for Business
- » Senior Management Arrangements, Systems and Controls

## Session 4: Approval of Individuals

- » The differing regime for Banks, Insurers and Investment Firms
- » Statements of Principle and Code of Practice for Approved Persons
- » Conduct Rules for staff in Banks

## Session 5: Supervision and Enforcement

- » Supervisory classifications
- » The Firm Systematic Framework
- » Enforcement powers of the regulators

## Session 6: Key risks in financial services firms

- » Anti-money laundering controls and infrastructure
- » Know your client requirements
- » Cybersecurity and resilience
- » Insider dealing and market abuse

### Tailor Any Seminar for Your Organization

Moody's Analytics offers customized training and eLearning solutions to help you maximize your training investment. Our hands-on approach benefits companies of all sizes and requirements – from those with just a few local employees to those with staff dispersed around the globe. Contact us to learn more and to work with one of our training consultants to design the right program for your organization.

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### Fees & Cancellations

The fee listed is per participant and includes refreshments, lunches and seminar materials. Seminar fees do not include tax, transportation or hotel accommodations. Payment must be received in full prior to the start of the seminar. Registrations may be cancelled in writing via letter or email at least 30 days before the first date of the training for a full refund. Cancellations received less than 30 days in advance are eligible for substitution with another seminar, but fees will not be refunded. We reserve the right to cancel or reschedule seminars at any time. For further information on our refund and complaint policy, please contact us.

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