

Conduct risk and compliance in modern financial services regulation

22 October 2019 | Addleshaw Goddard LLP, Leeds

In financial services, the related functions of compliance and conduct risk are still relatively new. Over the last decade or so, legal and regulatory requirements on, and expectations of, financial services firms have reached very high levels.

The senior managers' regime focuses on individual accountability and the FCA is increasing its investigations. Good culture and effective senior management may well be fundamentals, but strong conduct risk and compliance functions are also key to the success of financial services firms and to the well-being of their customers. Handled properly, they are not barriers to good business but are major drivers of it.

This seminar, in conjunction with Addleshaw Goddard LLP, drills down into risk and compliance functions and examines their practical place in the modern regulatory and risk environments.

Who should attend?

The event will be invaluable to risk and compliance practitioners, and is also likely to be of interest to senior managers, lawyers and others.

£350

VAT EXEMPT
BSA MEMBERS
& ASSOCIATES

A charge of £50 applies to cancellations received 7 days or less before the event.

REGISTER

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OVERVIEW:

09.30	Registration and coffee
10.00	Welcome and introduction Chris Lawrenson, Head of Legal Services, BSA
10.05	The legal and regulatory background Chris Lawrenson, Head of Legal Services, BSA
10.40	Core design principles for compliance and risk Sarah Herbert, Compliance Director – Financial Services Regulation Compliance, Addleshaw Goddard LLP
11.15	Coffee
11.30	How compliance and risk functions work together Nikesh Shah, Senior Compliance Manager - Financial Services Regulation Compliance, Addleshaw Goddard LLP
12.15	Round-up of the morning's themes
12.30	Lunch
13.15	Key regulatory themes and current client risks Sarah Thomas, Legal Director – Global Investigations, Addleshaw Goddard LLP
14.00	Recent FCA industry themes and emerging risks Steven Francis, Partner – Financial Services Regulation Practice, Addleshaw Goddard LLP
14.45	Interactive case study
15.45	Final Q&A
16.00	Close (approx.)

TIMINGS

10.00 - 16.00

The event will start promptly at 10am.

Refreshments and a buffet lunch will be provided.

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