

Preparing for successful regulatory visits online course

Dates to be arranged (subject to demand) | 09.30 – 12.45 both days

Regulatory visits have become more intrusive than ever and can lead to capital and liquidity add-ons, follow-up work and/or other regulatory interventions, including s166 notices or even enforcement action. Meticulous preparation is key to a successful outcome from the visit. Firms that prepare thoroughly tend to experience little difficulty, whereas those that do not prepare effectively may face an uncertain outcome.

Currently, all regulatory visits are virtual although the intention is to revert to on-site as soon as practical. On top of these, the PRA holds regular "Covid" calls. Virtual meetings bring additional challenges where regulators and/or interviewees may not be able to meet face-to-face due to Covid precautions.

This online workshop, split over two half-day sessions, is especially helpful for those who have not yet experienced a regulatory visit or have a critical visit approaching. It will help you know what to expect from such a visit, how to prepare effectively and how to have a positive effect on the outcome. You will also be able to pass on your knowledge to others in your society.

In line with most building societies' visit schedules, the main focus of this workshop will be prudential.

Areas to be covered include:

- The supervisory approach of the PRA
- Preparing for visits and meetings - from the announcement to the day itself
- Regulatory meeting technique
- What the regulator's looking for, including likely lines of questioning
- ILAAPs and ICAAPs
- Senior managers' regime meetings and interviews
- FCA thematic visits and meetings
- Online preparation and online regulatory meetings and visits

The course will include advice on preparing for and being interviewed in online regulatory meetings.

£495

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BSA MEMBERS
ONLY

*Payment to be made by
credit card only.*

REGISTER YOUR
INTEREST:

EMAIL

events@bsa.org.uk

Course presenter:

Lydia Bailey has a career spanning over 30 years in financial services, developing deep and wide ranging knowledge of regulatory risk management and governance. This has been built through experience as:

- a risk specialist at the Bank of England and FSA
- regulatory and risk advisor at KPMG
- Head of Compliance (UK and Europe) at BP
- nine years as Head of Regulatory Management (EMEA) at JPMorgan Chase
- and most recently through work of her own company, Metidian Limited

Lydia is passionate about helping firms and individuals perform at their best under the artificial conditions of regulatory visits and interviews.