

# Preparing for successful regulatory visits

Dates to be arranged (subject to demand) | BSA, London WC2 (10am – 4pm)

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 S166s 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.

This one-day workshop 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

*"A very useful introduction to regulatory visits especially for someone that is new to financial services and has yet to experience a visit from the PRA/FCA."*

*(Delegate feedback – February 2020)*

Attendance at this highly interactive workshop, with role plays, practical exercises and video clips, will be limited to a small number of participants. We will need a minimum of five registrations for it to be viable to

## £490

VAT EXEMPT  
BSA MEMBERS  
ONLY

*A charge of £100 applies to cancellations received 14 days or more before the event. No refunds can be given for later cancellations although substitutions can be made free of charge at any time.*

REGISTER YOUR  
INTEREST:

EMAIL

[christie.sharp@bsa.org.uk](mailto:christie.sharp@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