



ACCREDITED TRAINING PROVIDER

# UK Financial Regulation - Legislation, Rules & Conduct

The global financial world often seeks security and integrity by aligning with or adhering to key regulations and legislation within in the UK Financial Sector.

This comprehensive course covers **the UK financial regulation sector** starting from the UK regulatory environment to the Conduct of Business Sourcebook (COBS) rules.

## Course Objectives

Participants will **gain an in-depth understanding of the regulations and legislation that underpin financial markets** in the conduct of the investment business in the UK including

- The Regulatory Environment
- The Financial Services and Markets Act 2000 and Financial Services Act 2012
- Associated Legislation and Regulation
- The FCA Conduct of Business Sourcebook / Client Assets
- Complaints and Redress

## Who should attend?

- **Practitioners** dealing in securities and/or derivatives.
- **Professionals in government and industry** interfacing with the UK financial services markets, investment products and practices
- **CISI Candidates** for certification and diplomas in the **Capital Markets Programme** and the **Investment Operations Certificate**.

Our unique 2 day classroom training course features:

- Content-rich study materials
- Up-to-date and industry relevant case studies
- In-depth analysis of course topics
- Smaller class sizes which focus more on personal attention & expert-delegate interaction
- An experienced, expert practitioner-trainer with real industry track-record & available for delegate Q&A for up to 90 days to help in exam preparation following the course.

### Methodology

The expert trainer will use slides, case studies, exercises and lead workshop-style group discussion to engage the delegates in practical learning and understanding. The trainer remains available to delegates for Q&A related to the course topic for 90 days following the course dates.

**Advanced Preparation: None**  
**Training Type: Live, in-person, classroom**

**Learning Level 3:**  
**Intermediate**

**Field of Study: Financial Regulation**

**This training course is scheduled for: The price per delegate for this 2-day programme is £1,995**

**London UK, 2 days**  
February 14 - 15, 2019  
November 21 - 22, 2019

(+ UK VAT when applicable)

1:1 training courses available  
at 2x per delegate price!

**For an in-house training option, alternative dates and locations are available.**

We are happy to add extra content to the programme to meet additional requirements from your company. Please contact us for further information.

[www.riskrewardlimited.com](http://www.riskrewardlimited.com)

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**CISI@riskrewardlimited.com**

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## Detailed Course Outline

### Session 1: The Regulatory Environment

- The role of the FCA and PRA
- The Regulatory Infrastructure

### Session 2: The Financial Services and Markets Act 2000 and Financial Services Act 2012

- Regulated and Prohibited Activities
- Performance of Regulated Activities
- Information Gathering and Investigations
- Regulated Activities 2.5 Miscellaneous offences under FSA 2012

### Session 3: Associated Legislation and Regulation

- Insider dealing
- Market abuse
- Money laundering
- Model Code
- Disclosure and Transparency rules
- Data Protection Act 1998
- Relevant European Regulation
- Prudential Standards

### Session 4: The FCA Conduct of Business Sourcebook / Client Assets

- The application and general provisions of the FCA Conduct of Business Sourcebook
- Accepting clients
- Communicating with clients, including financial promotions
- Suitability
- Product disclosure and the client's right to cancel
- Dealing and managing
- Reporting to clients
- Client Assets

### Session 5: Complaints and Redress

- Customer complaints

Course schedule:

Full day classroom training  
09:30 – 17:00



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## Registration & Payment details

Please mark **X** in the box and complete the form with BLOCK LETTERS

Dates:

February 14 – 15, 2019

November 21 – 22, 2019

### Course Fee (per person):

GBP £1,995 (+ UK VAT when applicable)

Email\*

First name\*

Last name\*

Job title / Position

Department

Company Name

Company Address

City

Postcode

Country\*

Telephone (direct)\*

Telephone (main)

Approving Manager

Training Manager

### CISI Certificate & Diploma Candidates

Please register, purchase your CISI workbook and online learning tools, and arrange to sit the exam at a testing centre directly with the professional body via [www.CISI.org](http://www.CISI.org).

Please tick that box if you don't want to be subscribing to the Global Risk Update magazine.

**Data Privacy & Update of Contact Details** Risk Reward Limited is fully compliant with the Data Protection Act. The information you provide will be safeguarded by Risk Reward Ltd. We do not rent, sell or exchange your details to anyone without your consent. Your details are never given to third parties. If you wish to update your details, please email: [info@riskrewardlimited.com](mailto:info@riskrewardlimited.com) with your OLD and NEW details. Please allow 10 days to see the changes take effect. Thank you.

**Terms and Conditions** All cancellations must be received in writing 20 working days prior to the start of the course with acknowledgement from Risk Reward. Course fees must therefore be paid in full if a cancellation occurs within 20 working days of the start of the course. We are always happy to welcome a replacement onto the course. Kindly send us written notification of your replacement by email, fax or telephone. Written cancellations received 20 working days or more before the start date of the course receive a full refund less a charge of 20%. For any written cancellation requests that reach us less than 20 working days before the event, no refunds will be given. Risk Reward reserves the right to the final decision if any dispute arises.

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Signature

Date

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