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### Seminar Learning Objectives

#### **Seminar Session 1 - A Holistic Approach to FCA Compliance**

Delivered by **Nikki Bennett**, Managing Director, UKGI

By the end of this session delegates will be able to:

- Describe the changing landscape of financial services regulation and what it means to be authorised and regulated in the UK now
- Understand the implications and concepts of culture, conduct and accountability
- Explain the benefits of a robust and effective governance and compliance framework
- Identify current and emerging areas of focus for the Regulator

#### **Seminar Session 2 - Sources of Business and Partner Management**

Delivered by **Helen Dean**, Head of Broking Consultancy, ICS

By the end of this session delegates will be able to:

- Describe the key regulatory factors when considering who you do business with and how you do it
- Outline the key requirements and considerations for engaging with sources of business, including regulatory status
- Identify common questions and issues that can arise when dealing with sources of business and third-party partners
- Explain the governance arrangements you need in place to manage these relationships

#### **Optional Session 1- Product Governance in the Distribution Chain**

By the end of this session delegates will be able to:

- Describe the roles and responsibilities in the distribution chain, including those responsible for overseeing it
- Identify product governance issues in relation to the Consumer Duty
- Explain the relevant findings from the FCA's Thematic Review TR 24/2

#### **Optional Session 2 - Demonstrating Fair Value**

By the end of this session delegates will be able to:

- Describe the key elements of assessing fair value
- Explain how you consider your remuneration and assess its impact on the value of the products and services you provide.

- Identify the right MI and analysis to assess your remuneration, and to provide evidence of any such assessment and its outcomes.
- Define your product distribution arrangements and their impact on product value

### **Optional Session 3 - Outcomes and Good MI**

By the end of this session delegates will be able to:

- Explain how the MI that you use and have developed can be used to evidence good outcomes
- Identify which MI you might need to collect to support and provide that evidence
- Define the techniques you can use to identify trends to assess good or poor outcomes

### **Keynote Session - Consumer Duty: Lessons Learned** (CII Accredited Session)

Delivered by **John King**, former GI Supervision manager at the FCA

By the end of this session delegates will be able to:

- Describe the impact the Duty has had since implementation
- Identify examples of good and poor practice, and potential areas for improvement
- Explain how the FCA's expectations of firms for the year ahead relate to priorities for your firm