UKGI

Compliance with Confidence

CII- Accredited Webinar Series – Autumn 2025

Learning Objectives

Webinar 1

<u>Utilising AI - AI Use at Your Firm</u>

Covered in this session:

- The types of AI
- Regulatory considerations for using AI
- T.R.U.S.T
- AI the Pros & Cons
- Applying AI in a regulated environment
- AI = assistive technology, not autonomous decision-maker

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

- Explain the core types of AI and their practical applications in insurance
- Evaluate the benefits, risks, and regulatory considerations of AI
- Apply best practice frameworks (e.g., Proof of Concept, DPIAs, oversight mechanisms)

Webinar 2

<u>Complaints Handling with Impact: Where insight meets action</u>

Covered in this session:

- Complaints Policies recap
- FOS Jurisdiction
- FOS case studies
- Root Cause Analysis

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

- Understand the importance of logging and responding to complaints correctly
- Explain FOS jurisdiction
- Demonstrate effective complaints RCA
- Identify opportunities for growth from complaints RCA

Webinar 3

Financial Misconduct: What is it? Why do the FCA care?

Covered in this session:

- What is Non-Financial Misconduct?
- The FCA's approach
- Relevant rules and reporting requirements
- Real examples
- What can you do

By the end of this session, you will be able to:

- Explain what Non-Financial Misconduct is
- Describe the FCA's approach to this topic, including relevant publications
- Assess how the rules apply to different employees
- List examples of where the FCA has taken action against firms
- Describe key actions you can take to help ensure you have an appropriate framework in place, to identify and manage instances of Non-Financial Misconduct

Webinar 4

Regulatory Round-Up

Covered in this session:

- FCA updates and emerging issues
- FCA simplification of rules
- Key areas of focus for firms, including premium finance, training and competency
- Discussions on key developments within the insurance sector

By the end of this session, you will be able to:

- Describe some recent FCA updates and emerging issues, including simplification of the rules
- Identify the areas where firms need to have appropriate focus, including premium finance and T&C; and
- Outline other key sector developments.