

META Financial Education

Transformative learning made simple!



Financial Markets, Compliance & Regulation, Personal Development

We are a team of learning experts. Passionate about learning.

We help our clients **learn about markets**, the ever-changing and complex **regulatory landscape** and how to achieve their personal best, manage their careers and **develop their people**.

Trusted By



Conflicts of Interest Course Overview

Conflicts of Interest occur throughout the world of financial services. They are situations where there is a tension between one or more sets of professional or personal duties. Firms cannot avoid potential conflicts arising in the normal course of business BUT getting conflict management right is both a challenge and an important area. It is critical to manage conflicts to avoid the risk of breaching rules set by regulators and damaging client relationships and corporate reputation.

Topics

- What is a conflict of interest?
- Types of conflicts
- How to identify conflicts
- Conflicts of interest policy
- Inducements
- Managing conflicts
- Declining to act
- MiFID II & Conflicts of Interest; research unbundling & inducements
- Personal Account Dealing (PAD)
- Outside Business Interests (OBIs)
- Gifts & Entertainment (G&E)
- Sales & Trading - impact of LIBOR, the interaction between firms and their counterparties, FX trading
- Research - independence and communication within firms
- Corporate Finance - information barriers, wall crossing

Format

Delivery options	<ul style="list-style-type: none"> • Classroom session (3 hours) • Virtual classroom (3-hour webinar) • eLearning (design upon request) • In-house
Option 1: Classroom	You attend alongside other market participants £495
Option 2: Virtual classroom	You attend alongside other market participants via an interactive online classroom £395
Option 3: In-house	This course can be tailored specifically for your organisation and delivered at your offices, offering a cost effective solution for more than 5 employees.

Course Details

Conflicts of interest at-a-glance

- Conflicts of Interest occur within all firms but must be identified and managed. Learn about the accurate identification and assessment of the potential impact, along with practical procedures that make conflicts of interest management effective, fair and compliant.
- MiFID II tightened the regulations around how firms deal with conflicts of interest and all firms must manage conflicts, not merely disclose them. Learn about the updates from MiFID II and the impact on your organisation.
- Learn to define what are conflicts of interest and what are your responsibilities
- This workshop considers the challenges of managing conflicts of interest and how to meet the regulatory expectations

Who should attend?



Compliance and Legal professionals who want to further their understanding of the conflicts of interest landscape and ensure they are positioned to meet their regulatory obligations.



Senior managers and any other manager or team leads seeking to lead and encourage their teams to better manage potential conflicts within their business area.



HR, and other support staff who are involved with conflicts of interest obligations or registers within their organisation.

What's covered?	
Content	Exercises & application
<ul style="list-style-type: none"> • What is a conflict? <ul style="list-style-type: none"> ➤ Competing interests ➤ Inducements ➤ Personal judgment 	<ul style="list-style-type: none"> • Knowledge check - examples
<ul style="list-style-type: none"> • The Fundamentals <ul style="list-style-type: none"> ➤ The FCA view ➤ Conduct risk vs Conflicts of Interest ➤ Conflicts and reputational risk ➤ Types of conflicts ➤ Framework for managing conflicts ➤ Conflict management techniques 	<ul style="list-style-type: none"> • Case study; Barclays gold fixing • Quiz - conflicted or not?
<ul style="list-style-type: none"> • MiFID II <ul style="list-style-type: none"> ➤ Unbundling ➤ Inducements ➤ Minor non-monetary benefits ➤ Gifts & hospitality 	<ul style="list-style-type: none"> • Knowledge check - examples
<ul style="list-style-type: none"> • Enforcement Action <ul style="list-style-type: none"> ➤ Sesame Ltd ➤ Aviva ➤ WH Ireland ➤ Bank of England 	<ul style="list-style-type: none"> • Group Exercise - case study analysis; what happened, why and how can we learn from these
<ul style="list-style-type: none"> • Personal Conflict Scenarios <ul style="list-style-type: none"> ➤ Personal account dealing ➤ Outside business interests ➤ Gifts & entertainment 	<ul style="list-style-type: none"> • Interactive Q&A
<ul style="list-style-type: none"> • Business Scenarios <ul style="list-style-type: none"> ➤ Sales & Trading ➤ Research ➤ Investment Banking/Corporate Finance ➤ Conflict clearance 	<ul style="list-style-type: none"> • Interactive Q&A • Case study; Daniel Plunkett (Barclays) • Case study; Toys R Us

- Case study
Citigroup & Toll
Holdings, Del
Monte & Barclays

The “META” approach to Conflicts of interest ...what makes our course unique

- Using industry cases, we offer a different lens on conflicts of interest and how to assess and improve your policies and procedures
- Packed with interactive quizzes, practical challenges and thought-provoking discussion to further your understanding.
- Leave this workshop with actionable steps to take back to your organisation to improve your current processes.

Meet Your Trainer:



Matt Fotherby

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Financial Markets,
Compliance & Regulations

Matt is our Founder and a passionate trainer.

His interest in education stems from his 10 years as an Account Executive looking after Global Hedge Fund and Asset Management clients. Matt quickly discovered that many of the financial market topics that his clients wanted to learn about were the exact same topics that he was striving to develop a better understanding of himself.

This led Matt to join the coveted Financial Markets Education team at UBS, a unique in-house education team that specialised in running a curriculum of financial market and product classes for both UBS employees and clients. Matt was responsible for building out the client offering; managing programs, creating content and teaching courses.

As financial markets entered a significant period of regulatory change Matt pivoted to take his client experience and market knowledge to focus on Regulations and Compliance topics.

Matt leverages his time spent as an attendee of training and fuses this with his deep markets knowledge and regulatory expertise to deliver engaging training designed to decipher complexity and equip learners with the knowledge they need to remain compliant and competent within their roles.

Matt leads on our Compliance & Regulations offerings.