

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



UK Regulations - an overview Course Overview

One course; delivered your way. If you are looking at this to assist your studies towards an industry qualification we can help. We run many such iterations for this exact scenario. If you're instead looking for a concise but comprehensive overview of UK regulations then we've got you covered too.

Topics

- The regulatory environment
- The role of the FCA and PRA
- The Regulatory Infrastructure
- 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
- Miscellaneous offences under FSA 2012
- Associated Legislation & Regulation
- Market Abuse
- Money Laundering and Financial Crime
- Transaction & Trade Reporting
- Data Protection Act 2018
- Relevant EU Regulation
- The FCA Conduct of Business Sourcebook (COBS)
- Suitability
- Client Assets
- Complaints & Redress

Format

Delivery options	<ul style="list-style-type: none"> • Classroom session (6 hours) • Virtual classroom (3 x2 hour webinar) • eLearning (design upon request) • In-house
Option 1: Classroom	You attend alongside other market participants: £695
Option 2: Virtual classroom	You attend alongside other market participants via an interactive online classroom: £595
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

UK Regulations- an overview at-a-glance

- Since the financial crisis we have seen unprecedented changes to rules, regulations and obligations. This course is designed to give you a comprehensive guide of the UK regulatory landscape; what you need to know, what it means and why it matters.
- Learn about the core component parts of the UK Regulatory environment,
 - Key UK regulations
 - Important associated legislation
 - The FCA Conduct of Business Sourcebook
 - Complaints & Redress
- Suitable as a revision aid for anyone taking the CISI UK Financial Regulations exam, including tips, tricks and questions throughout
- Suitable for anyone requiring a refresher or introduction to the UK regulations

Who should attend?



Any individual working at an FCA regulated firm, who requires a full front-to-back overview of UK Regulations.



Anyone returning to UK financial services after a period of absence or working in the UK for the first time requiring just enough detail to fully understand the regulatory environment and their obligations.



Those new to Compliance or Legal roles and seeking to further their understanding across the regulatory spectrum.

What's covered?	
Content	Exercises & application
<ul style="list-style-type: none"> • The Regulatory Environment <ul style="list-style-type: none"> ➤ The UK Regime ➤ The role of the FCA ➤ The role of the PRA ➤ Supervision ➤ Statutory objectives ➤ Fair treatment ➤ Relationship with other bodies 	<ul style="list-style-type: none"> • Knowledge check questions
<ul style="list-style-type: none"> ➤ The Financial Services and Markets Act 2000 and Financial Services Act 2012 <ul style="list-style-type: none"> ➤ Regulated and Prohibited Activities ➤ General prohibition S19 FSMA 2000 ➤ Specified investments ➤ Specified activities ➤ Excluded investments ➤ Authorisation ➤ Relevant European Regulation ➤ The Principles for Businesses ➤ Senior Management Arrangements ➤ The Accountability Regime (SMCR) ➤ The Regulators' Enforcement Process 	<ul style="list-style-type: none"> • Knowledge check questions
<ul style="list-style-type: none"> • Associated Legislation and Regulation <ul style="list-style-type: none"> ➤ Insider dealing ➤ S52 Criminal Justice Act 1993 ➤ Insider dealing: Defences ➤ S89-91 FSA 2012: Misleading statements and impressions ➤ EU Market Abuse Regulation (MAR) ➤ FCA Market Conduct Handbook Guidance ➤ Money laundering: The control framework ➤ Proceeds of Crime Act 2002 ➤ The Money Laundering Regulations 2017 ➤ Senior management arrangements, systems and controls (SYSC) 	<ul style="list-style-type: none"> • Knowledge check questions

<ul style="list-style-type: none"> ➤ Joint Money Laundering Steering Group guidance ➤ Money laundering: The three stages ➤ The Money Laundering Regulations 2017 (MLR 2017) ➤ The Proceeds of Crime Act 2002 ➤ The Bribery Act 2010 ➤ The Disclosure and Transparency Rules 	
<ul style="list-style-type: none"> • The FCA's Conduct of Business <ul style="list-style-type: none"> ➤ Application and General Provisions of COBS ➤ Client classifications; eligible counterparties, professional clients and retail clients ➤ Communicating with Clients ➤ Promotions ➤ Client agreements ➤ Information disclosures ➤ Product disclosures ➤ Suitability ➤ Appropriateness ➤ Advising & Selling ➤ Dealing & Managing ➤ Investment research ➤ Best Execution ➤ Order execution ➤ Client order handling ➤ Aggregation of orders ➤ Trade & transaction reporting ➤ Personal account dealing ➤ Client reporting ➤ Client Assets ➤ Record keeping 	<ul style="list-style-type: none"> • Knowledge check questions
<ul style="list-style-type: none"> • Complaints and redress <ul style="list-style-type: none"> ➤ Eligible complainants ➤ Complaints procedures ➤ The Financial Ombudsman Service ➤ The Financial Services Compensation Scheme 	<ul style="list-style-type: none"> • Knowledge check questions

The "META" approach to UK Regulations - an overview...what makes our course unique

- A dynamic approach to understanding the regulations, legislation and conduct that underpin financial markets in the UK. We blend industry content with engaging delivery.
- This course provides a holistic overview of the UK financial landscape , allowing participants to conduct a current state analysis of their procedures and benchmark against best practice.
- Packed with practical exercises, quizzes and takeaways to ensure you can immediately deploy your newfound knowledge. We can even include an end of course assessment!

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.