

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



Whistleblowing Workshop Course Overview

The Financial Conduct Authority (FCA) is investigating up to four non-executives for failing to perform their senior management function as a whistleblowing champion within their financial services firm. Barclays boss Jes Staley fined £642,000 over a whistleblowing scandal. What is going wrong and why is this still such a major issue? This workshop seeks to provide you with the answers.

Topics

- What is whistleblowing?
- When should you blow the whistle?
- Why is whistleblowing important?
- Whistleblowing policy
- Your responsibilities
- Industry examples
- Trader banned for failing to blow the whistle
- BlackRock pays \$340,000 penalty for removing whistleblowing incentives
- Barclays CEO Jes Staley fined for issues relating to whistleblowing
- Busting myths
- The moral mile
- The law and whistleblowing
- The Public Interest Disclosure Act (PIDA) 1998
- Protection for whistleblowers
- The FCA and whistleblowing
- Why are people reluctant to get involved?
- Do's & Don'ts

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

Whistleblowing at-a-glance

- Whistleblowers are the first line of defense against crime, corruption and cover ups. Not only do you have regulatory obligation but a moral obligation to create a culture that encourages speaking up.
- The EU Whistleblowing Directive was adopted by the European Parliament on 16 April 2019 and must be implemented by early 2021. Big changes will be required for many firms, including new procedures, training and communication campaigns. The Directive will have a big impact across the EU as it includes a requirement for all firms in all sectors with more than 50 employees to introduce internal channels and procedures for whistleblowing.
- The objective is to define what is whistleblowing, when should you blow the whistle and what are your responsibilities
- This workshop considers the challenges of managing whistleblowing and how to meet the regulatory expectations

Who should attend?



Compliance and Legal professionals who want to further their understanding of the whistleblowing landscape and ensure they are positioned to meet their regulatory obligations and create the culture to foster speaking up



Whistleblowing champions, senior managers and any other managers or team leads seeking to lead and encourage their teams to blow the whistle



HR, and other support staff who are involved with whistleblowing obligations within their organisation

What's covered?	
Content	Exercises & application
<ul style="list-style-type: none"> • What is whistleblowing? <ul style="list-style-type: none"> ➤ Transparency international ➤ UK government ➤ FCA 	<ul style="list-style-type: none"> • Knowledge check - true or false
<ul style="list-style-type: none"> • Why is whistleblowing important? <ul style="list-style-type: none"> ➤ Whistleblowers have exposed cases of market and benchmark manipulation ➤ Whistleblowers have also helped us uncover cases of insider trading ➤ We've been told about pressure selling via whistleblowers 	
<ul style="list-style-type: none"> • When to blow the whistle <ul style="list-style-type: none"> ➤ A criminal offence ➤ Violations of laws and regulations by our Company ➤ A miscarriage of justice ➤ A health and safety risk that has not been addressed ➤ Damage to the environment ➤ Covering up of wrongdoing 	
<ul style="list-style-type: none"> • When it goes wrong <ul style="list-style-type: none"> ➤ Sacked NHS whistleblower gets £1.22m in damages ➤ Trader banned for failing to blow the whistle ➤ BlackRock pays \$340,000 penalty for removing whistleblowing incentives ➤ Whistleblower RBS escapes Libor fines of \$140m ➤ SEC awards whistleblower \$30m 	<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"> • Busting myths <ul style="list-style-type: none"> ➤ What you need to know ➤ Common misconceptions 	<ul style="list-style-type: none"> • Interactive Q&A

<ul style="list-style-type: none"> • The law and whistleblowing <ul style="list-style-type: none"> ➤ The Public Interest Disclosure Act (PIDA) 1998 ➤ Protection for whistleblowers 	
<ul style="list-style-type: none"> • Why are people reluctant to get involved? <ul style="list-style-type: none"> ➤ Fear of not being taken seriously or listened to ➤ Fear that you will be victimised ➤ Unsure about the wrongdoing (psychologists call this 'ambiguity') ➤ Assuming that someone else will act, especially someone more qualified who is responsible in the situation (psychologists call this 'diffusion of responsibility') ➤ Not acting in accordance with usual social responsibility in the company of strangers (psychologists call this 'low cohesion') 	<ul style="list-style-type: none"> • Scenario analysis – you make the call
<ul style="list-style-type: none"> • Do's & Don'ts <ul style="list-style-type: none"> ➤ Stick to the facts when making a report ➤ Be vigilant and watch out for indicators of suspicious behaviour or activity ➤ Report any wrongdoing or concerns as soon as possible via our approved channels ➤ Remember you're a witness not an investigator! 	

The "META" approach to Whistleblowing ...what makes our course unique

- Working with an independent whistleblowing specialist [iTrustAssurance](#) we offer a different lens on whistleblowing and how to assess and improve your policies and procedures
- We use up-to-date industry case studies to focus on what happened and how you can learn from these
- Packed with practical and insightful takeaways on how to review and assess your current practices

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.