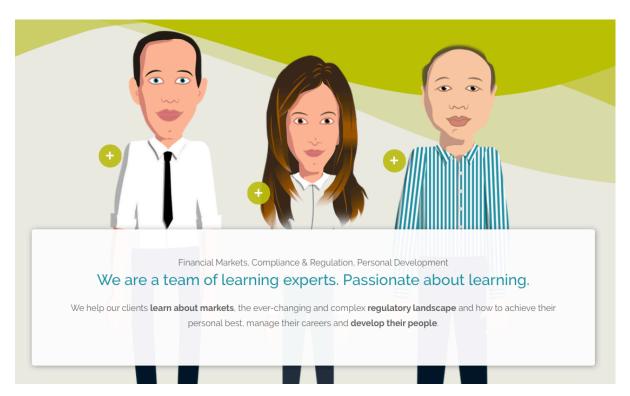


META Financial Education Transformative learning made simple!



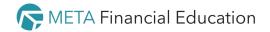
Trusted By













Conduct Counts Workshop Course Overview

Unprecedented fines and enforcement action have and continue to be imposed across financial services and now it's starting to get personal. What does conduct mean to you and to your organisation and how do you get it right?

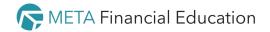
Topics

- The timeline of misconduct
- Conduct headlines
- Fines, penalties & enforcement
- Sub-prime
- Lehman Brothers
- Société Générale
- Rogue trading
- Mis-selling
- Risk management framework
- Identifying risk
- Assessing risk

- Controlling the risk
- Governance, risk & compliance
- Conduct counts case studies
- Fitness & Propriety
- Market conduct
- Integrity
- Conflicts of interest
- Regulatory change
- Conduct risk definition
- Regulatory references
- Lessons learned

Format

Delivery options	 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

Conduct Counts at-a-glance

- In this workshop, via the use of case studies, we will focus on what good conduct means, the practical steps that should be taken to best serve your clients and protect your firm and the individual implications for you as employees
- The workshop is structured into three sections:
- > Why conduct still counts
- Case study analysis you decide
- Group exercise; what does the FCA expect
- The objective is to define what is conduct risk, what does it really mean and why does it matter
- This workshop considers the challenges of defining and managing conduct risk and how to meet the regulatory expectations

Who should attend?



Compliance professionals who want to further their understanding of the conduct landscape and ensure they are positioned to detect and avoid future conduct issues

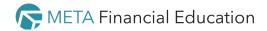


Those involved with the conduct agenda for their organisation including Compliance, HR and Risk professionals



Anyone working with The Board or Senior Leaders to define and deliver on their culture and conduct agenda





What's covered?	
Content	Exercises & application
 Why Conduct still counts Headlines and stories The timeline of misconduct Learning from the past Defining conduct Common themes 	 Exercise - name the misconduct story Define conduct definition
 Conduct Counts: You Decide Judgement; can do vs should do What is RIGHT? Integrity outside the office (Jonathan Burrows case) Training & competence The perils of social media at all ranks 	 Interactive Q&A using voting buttons to canvass attendees
 The FCA View The 5 Conduct questions IDENTIFY What proactive steps do you take as a firm to identify the conduct risks inherent within your business? ENCOURAGE How do you encourage the individual functions to feel and be responsible for managing the conduct of their business? SUPPORT What support does the firm put in place to enable those who work for it to improve the conduct of their business or function? LEADERSHIP How does the Board and ExCo gain oversight of the conduct of business within their organisation ASSESSMENT Has the firm assessed whether there are any other activities that it undertakes that could undermine strategies put in place to improve conduct? 	



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

- Creating a culture of integrity and accountability continues to be a key theme for the FCA and is the central thesis to this workshop
- Having worked with numerous organisations we aim to move your conduct agenda beyond a simple definition, to become an evolving part of your DNA
- Packed with practical case studies and exercises to focus on the identification of conduct issues, what you need to do and how you can learn from the past to make sure you do not end up as the next headline story!

Meet Your Trainer:



Matt Fotherby

matt@metafe.co.uk

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.

