

# Culture, Values and Regulation

## **Conduct Rules for All Staff**

With the introduction of phase 2 of the SMCR Regime in 2018, all staff in FCA regulated firms will need to be trained to understand the Conduct Rules. Senior Managers and Certified Persons may be familiar with these rules from the previous regulatory regime, but more junior staff will not, and there is a high risk that as a result individuals could get caught out and breach these rules leading to disciplinary and regulatory sanctions.

### **GOAL**

- To provide all staff with a full understanding of the SMCR Conduct Rules.

### **Suitable for:**

- All staff in FCA regulated firms who need to understand the Conduct Rules.

### **Content**

This 75 minute workshop is highly interactive and case study driven. It will guide participants through the new regulatory regime and in particular will focus on:

- **Purpose of the Accountability Regime** – what is it?
  - **Key features of the regime** – how it differs from the previous one?
  - **How it links to regimes affecting other colleagues** – including Senior Managers and Certified Persons
  - **How it will work at your organisation** – what are the changes?
  - **What are the Conduct rules** – How can they be applied in day to day business?
  - **Scenarios** – we have developed a series of business case studies for the participants to discuss and apply the rules in real situations that staff will face
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- Each session is interactive and we encourage questions
    - Included are a number of mini-quizzes throughout to keep the audience interested and focussed on key issues

Delegates will leave the workshop with action plans they can implement back at the office immediately.

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