

# RISK, REGULATORY & COMPLIANCE (GROUP MANDATORY)

**Contact us** to find out more about any of the courses below.

Board Ready CPD Programme

Compliance Monitoring

Conflicts of Interest

Consultancy

Culture & Ethics

Directors Guide to Surviving an FCA/PRA Visit

Directors Guide to Financial Crime

Embedding SMCR

Ensuring your Audit Committee is Effective

Evidencing Effective Board Reporting

Financial Promotions

Foundation in MCOB for Retail Firms

GDPR - what Senior Managers need to know

Information givers in wealth management or asset management

IDD & how it links to SMCR

Investigative interviewing

Liquidity risk management and regulation

Operational Risk & Resilience

Preventing, Detecting & Investigating Financial Crime

Regulation and Compliance - the Fundamentals

Retail Conduct Risk and Culture

Risk Management Oversight

Satisfying Suitability Requirements

SMCR and the Importance of Effective Minute Taking

Taking Reasonable Steps

The Fundamentals of Insurance Underwriting

Validating your CASS Arrangements

Vulnerable Customers and Financial Inclusion