

ADEMPI

Advice to help you accomplish

COMPLIANCE 101



6 hours of CISI accredited CPD

This is our one-stop shop for Compliance Officers and other compliance professionals. We cover the technicalities and practicalities of the regulatory regime, how it impacts your firm given the activities you undertake and what the responsibilities of compliance within that framework are.

WHO IS IT AIMED AT?

This serves as a great refresher course for any compliance officers looking to strengthen their technical understanding and check that they have all bases covered. First time compliance officers also attend, as do those who find themselves changing businesses or sectors.

LEARNING OBJECTIVES

- Navigating the bounds of firm's your scope of permission
- Staying ahead of regulatory change and confidently making compliance decisions
- Clarity on the regulators' expectations of compliance departments and of firms
- Enhanced knowledge in core compliance requirements for your firm from prudential requirements to financial promotions, from reports and notifications to complaints handling.

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PRACTICALITIES

At Adempi, training is interactive. So bring your questions and get the most out of the time. We want you to come away with knowledge that you can immediately put it into practice

We run trainings as small workshops, limiting numbers so that attendees can ask questions relevant to their firm and engage with each other as well as with us throughout the day. Where possible we align attendees with complimentary business models to maximise the value that sharing ideas and experiences can have.

TIMINGS

9.30am Registration

10.00am Session starts

4.00pm Session ends

Lunch will be provided

COST

£625 plus VAT

invoiced in advance

OUR TRAINERS

Our trainers are experienced regulatory consultants who work closely day in day out with regulated financial firms. Not only do they have a wealth of practical experience and a depth of technical knowledge to share, but they also know how to make compliance as engaging and accessible as possible.

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