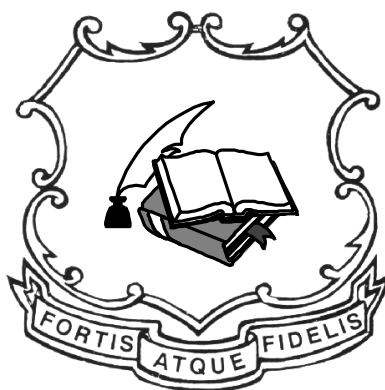


THE 2017 REGULATORY SUMMIT

21st June

At DENTONS

One Fleet Place, London, EC4M 7WS
(Nearest Stations: City Thameslink or St. Pauls)



ADDRESSING THE HOT TOPICS FOR 2017

ORGANISED BY THE COMPLIANCE REGISTER

Telephone: (01908) 322450, Fax: (01908) 220213
Email: events_info@compliancer.com

Website: www.ComplianceR.com

THE 2017 REGULATORY SUMMIT

INTRODUCTION

The Compliance Register has, since 1995, conducted practical compliance training for compliance professionals and senior executives.

OBJECTIVES

The objective of this Summit is to address the major issues facing regulated firms. 2017 will be pivotal year with Brexit negotiations getting under way and also the snap general election on 8 June. Opinion polls have recently proved to be unreliable so the outcome is not as certain as some would predict.

We have once again assembled an excellent panel of speakers who are seasoned practitioners to deal with the hot topics and issues.

The speakers will aim to provide clear insight into the issues and topics ranging from MiFID II, Senior Managers & Certification Regime, Corporate Governance, Recent Upper Tribunal cases and Financial Crime.

Documentation, lunch and refreshments will be provided.

Note: This event should qualify for 6 hours CPD for the various professional bodies, we suggest you keep a copy of the Summit programme for CPD purposes.

Course Fee	Fee	VAT	Total
Per delegate*:	220.00	44.00	£264.00

*Special 2 for 1 offer for registrations by Friday 9 June.
VAT has been applied at the rate of 20%.

Reservations, Cancellations & Refunds

Space is limited. To avoid disappointment, please complete and return the Registration Form by email as soon as possible followed by your cheque in the post. If requested, we can also invoice you for payment. Places will be allocated on a “first come first served” basis based on receipt of your registration. Once you have submitted your registration, we will regard it as a firm booking to be followed by payment in full. No refunds will be made for cancellations but we will supply you with the presentations if you are unable to send a substitute delegate. A VAT receipt will be sent on request. Joining instructions will be sent by email, so please make sure we have your email address. The Compliance Register reserves the right to make changes to the programme, speakers or date of the course should the need arise.

THE 2017 REGULATORY SUMMIT

21 June at Dentons, London

08.35 *Registration & Coffee*

08.50 *Chairman's Introduction*

Speaker: Ben Goh, Chairman, The Compliance Register

Session 1

08.55 *Update on MiFID II (General)*

- Where we are now? Update on EU measures
- Reminder of key changes
- UK attitude to implementation
- UK legislative change
- UK regulatory change
- FCA application and notification guide

Speaker: Emma Radmore, Legal Director, Bond Dickinson

Session 2

09.35 *Update on MiFID II (Distribution)*

- New framework for retail investments
- Responsibilities of product providers
- Responsibilities of distributors
- Practical implications

Speaker: Michael Wainwright, Partner, Dentons

10.15 *Morning Coffee*

Session 3

10.30 *Senior Managers and Certification Regime*

- Latest developments
- Extension of SM&CR to all firms
- Practical implications

Speaker: Mark Spiers, Compliance Consultant, Bovill

Session 4

11.05 *Legislation and Regulation*

- Policy changes post the 2017 general election
- Key FCA and PRA developments
- Practical implications

Speaker: Nitesh Palana, Managing Consultant, PA Consulting

Session 5

11.40 *Recent FCA/PRA Enforcement Actions*

- Major cases
- What went wrong
- Lessons for the future

Speaker: Celyn Armstrong, Partner, Dentons

Session 6

12.20 *Effective Compliance Culture*

- Identity and Identification
- The Virtuous Cycle (10 "R"s)
- Challenges and Pitfalls

Speaker: Ben Goh, CEO, Compliance Register Consulting

12.50 *Special Presentation on SM&CR solutions: Redland Business Solutions*

13.00 *Lunch*

Session 7

14.00 *Corporate Governance*

- The role of Risk Management
- The role of Compliance
- Practical examples including challenges

Speaker: Alan Brener, Senior Consultant, Compliance Register Consulting

Session 8

14.35 *Recent Upper Tribunal cases*

- Winners and Losers
- Individuals
- Firms

Speaker: Cindy Dorrington, John Bechelet, Partners, and Roland Ellis, Senior Associate Bivonas Law

15.05 *Afternoon Tea*

Session 9

15.20 *Financial Crime Update*

- MLD4 issues
- Other developments
- Recent enforcement cases

Speaker: Daren Allen, Partner, Dentons

Session 10

15.55 *Implementing MiFID II*

- Practical challenges
- Developing an effective plan
- Systems and Controls

Speaker: Harps Sidhu, MiFID II Global Lead, KPMG

Session 11

16.25 – Panel Session & Conclusion

DOWNLOAD REGISTRATION FORM IN WORD

You can download the event registration form in Word format, complete it and then emailed it to events_info@compliancer.com

For the Event Code, use RS17.

Click on the link below to download:-

<http://www.compliancer.com/download/event-registration-form/>

Alternatively, please use the form on the next page.

THE 2017 REGULATORY SUMMIT

21 June 2017

REGISTRATION FORM

(Please photocopy this form as required.)

Mr, Mrs, Miss or Title	First Names	
Surname	Position	
Company		
Address		
Town		
Postcode	Telephone	Fax
Email address		
Please describe any special dietary requirements.		

IMPORTANT NOTES

1. Please make all cheques payable to The Compliance Register Limited and crossed "A/C Payee Only". We can also invoice you for payment either by cheque or by BACS transfer – please request this in your covering email.

2. Registration Forms should be sent by email to Events_Info@ComplianceR.com or fax to 01908 220213 initially followed by the original and cheque in the post to:-

Ben Goh, Chairman, The Compliance Register,
Enterprise House, P O Box 843, Greenleys, Milton Keynes, MK12 6YZ,
United Kingdom.

3. If you have any queries, please contact Ben Goh by telephone, direct line: (01908) 322450 or 07954 104534.

4. Updated versions of this brochure will be available: www.ComplianceR.com
[Information in this brochure is as known on 1 June 2017.](#)

5. IMPORTANT NOTICE: REFUNDS POLICY

Please note there will be no refunds for cancellations or non-attendance. You are welcome to send a substitute delegate. We will supply you with the course documentation should you be unable to send a substitute delegate..

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