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CHARTERED INSTITUTE FOR SECURITIES & INVESTMENT CPD

The Chartered Institute for Securities & Investment's

TRAINING & COMPETENCE CONFERENCE 2010

CISI MEMBERS ONLY £199

Staying Ahead of the Shifting T&C Landscape

7 July 2010
Fishmongers' Hall, London EC4R 9EL

- Hear from the FSA regarding their expectations
- Ensure your firm is ready for the RDR
- Discuss how best to manage graduate entry
- Find out how to meet the new qualification requirements
- Benchmark your T&C provision against industry good practice
- Understand how to manage, measure and evidence CPD
- Discover the latest trends in compliance training
- Learn from industry peers in topical audience-led discussions
- Meet industry experts

HEAR FROM KEY INDUSTRY EXPERTS INCLUDING:

Peter Smith, Head of Investments Policy,
FSA

Sandra Jacobs, Compliance Officer,
RBS GLOBAL BANKING & MARKETS

Liz Field, Interim CEO,
FSSC

Ian Howatson,
Head of Learning & Development,
TOWRY

Sally Beagley,
Senior Training and Competence Manager,
COUTTS & CO

Bruce Herrington ACSI,
Senior Competency Manager,
BREWIN DOLPHIN

Charles Cattell MCSI, Partner,
THE CATTELLYST CONSULTANCY

Patrick Thompson FCSI,
Managing Director,
EUKLEIA TRAINING

Ruth Martin, Managing Director,
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T-C NEWS

TRAINING & COMPETENCE 2010

ABOUT THE CONFERENCE

Training and competence is undergoing a period of huge change. Recent regulatory initiatives including the RDR have challenged the level and type of training financial services practitioners should be expected to undergo and the introduction of compulsory CPD for those in the retail arena has focused the importance of ongoing education.

This conference will not only give analysis of the latest regulatory developments but also practical examples of how to run an effective T&C function and provide an opportunity to benchmark with peers. An unrivalled speaker line up representing the elite of the Training & Competence world will impart their knowledge and experience in a fresh, interactive forum.

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09:00 REGISTRATION

09:30 CHAIRMAN'S OPENING REMARKS

Sandra Jacobs, Compliance Officer,
RBS GLOBAL BANKING & MARKETS

09:45 DEVELOPMENTS IN T&C INCLUDING CPD31/10 AND CP931
WHAT IS THE FSA LOOKING FOR WHEN:

- checking a person is competent?
- on a T&C visit?

Peter Smith, Head of Investments Policy, FSA

10:15 PROGRESS TOWARDS PROFESSIONALISM

- The FSSC's role
- Beyond qualifications
- Talent for the future
- RDR readiness

Liz Field, Interim CEO, FINANCIAL SERVICES SKILL COUNCIL

10:45 MORNING BREAK

11:15 CASE STUDY: TOWRY'S STRATEGIC APPROACH TO THE RDR

- Financial Services Professional
- Towry Masters Programme
- Post-RDR World

Ian Howatson, Head of Learning & Development, TOWRY

11:45 BUILDING FROM THE GROUND UP: MANAGING GRADUATE ENTRY FOR THE RETAIL FINANCE INDUSTRY

- Building an appropriate adaptable training programme
- Determining the right level of investment
- Identifying the best qualifications route under the RDR
- Growing and maintaining skills using CPD

Sally Beagley, Senior Training and Competence Manager, COUTTS & CO

12:15 HOW T&C IS UNDERTAKEN IN FIRMS — WHAT DOES GOOD PRACTICE LOOK LIKE?

- T&C in perspective — a mitigant of people risk
- The impacts of TCF and RDR on firms' T&C arrangements
- Just who is in scope and for what?
- Good practice themes and exemplars

Charles Cattell MCSI, Partner, THE CATTELLYST CONSULTANCY

12:45 LUNCH

13:45 **TRENDS, TECHNOLOGY & TRICKS: DEVELOPMENTS IN COMPLIANCE TRAINING**

- What's everyone training on?
- Using technology in compliance training
- Making the message palatable; training techniques explored
- A forward look

Patrick Thompson FCSI, Managing Director, EUKLEIA TRAINING

Liz Hornby MCSI, Compliance Trainer, EUKLEIA TRAINING

14:15 **DISCUSSION GROUPS**

Charles Cattell MCSI, Partner, THE CATTELLYST CONSULTANCY

Alison Stobbs, Director — HR, CAZENOVE CAPITAL MANAGEMENT

Gary Teper, Director, CHARLES STANLEY

Patrick Thompson FCSI, Managing Director, EUKLEIA TRAINING

14:45 **DISCUSSION GROUP FEEDBACK AND Q&A**

15:00 **AFTERNOON BREAK**

15:30 **BRIDGING THE GAP: QUALIFICATIONS TOP UP AND RDR FOR RETAIL ADVISERS**

- What is the qualifications top up?
- CPD as qualifications top up
- Proportionate yet comprehensive, how?
- Case study for review

Ruth Martin, Managing Director,
CHARTERED INSTITUTE FOR SECURITIES & INVESTMENT

16:00 **CASE STUDY: CONTINUING PROFESSIONAL DEVELOPMENT —HOW? WHAT? WHERE?**

- A look at what the RDR will bring
- Feedback from the industry
- What will Brewin Dolphin propose?
- Accrediting CPD schemes

Bruce Herrington ACSI, Senior Competency Manager,
BREWIN DOLPHIN

16:30 **ROUND UP OF THE DAY**

16:45 **CLOSE**

WHO WILL YOU MEET?

Directors and Managers from:

Training
Competence
Compliance
Learning
Development
Regulatory Affairs

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Eukleia Training is a specialist regulatory and compliance training company. Established in 2005 by some of the best names in the industry, it has more than 200 years of accumulated compliance training experience and provides elearning and instructor-led training to regulated financial services companies in the UK and around the world.

Eukleia has grown rapidly and has established a reputation for excellence and for outstanding compliance content written by its in-house team of specialist subject matter experts. With a design and development team all in the UK, Eukleia has an expanding list of blue chip clients across the UK, the EU and globally.

Eukleia was among the first providers to be accredited by the CISI in April 2010.

For further information on how Eukleia can assist you with your learning, training and development requirements please call 020 7220 4050 or visit www.eukleia-training.com

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"This event is always good with some very effective speakers."

Compliance Assistant, UBS Global Asset Management

FORTHCOMING TRAINING CONFERENCES:	
Mastering Communication Skills in Financial Services	06/07/2010
Introduction to Islamic Finance	13/07/2010
Introduction to Financial Markets	15/09/2010
Operational Risk: taking it to the next level	22/09/2010
Training Competence and Managing Expertise in a Regulated Environment	28/09/2010

FORTHCOMING CONFERENCES:	
Compliance Professionals Summit 2010	20/10/2010

TRAINING & COMPETENCE CONFERENCE 2010

7 July 2010

Venue Details

Fishmongers' Hall, London Bridge,
London EC4R 9EL
+44 (0)20 7626 3531
fishhall.co.uk
Nearest Tube Stations: Monument/Cannon Street/London Bridge

To Register

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London EC3M 1AE

Attendance: (please tick appropriate box)

code: **TC10**

CISI Member Price: ☐ **£199.00** **Standard Price:** ☐ **£399.00** **(ALL PRICES ARE VAT FREE)**

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