

**Warning:** array\_keys() [function.array-keys]: The first argument should be an array in /var/www/vhosts/cclcitytraining.com/webapp/live/cms/modules/training/classes/Staff.class.php on line 190



## ▶ Preparing for a DFSA Inspection and Investigation

It is vital that you ensure your Firm is ready for an on-site assessment by the regulator, and you consider how the DFSA will test your Firm's systems.

This course provides you with an overview of the supervisory regulatory role and the risk based approach to regulation. Further, the session will outline the regulator's off-site and on-site regulatory assessment activities, and the scope and breadth of an on-site regulatory assessment.

### Course Highlights

- Workshop style training course
- Interactive learning environment
- Maximum of 16 attendees per course
- Taught by a trainer who previously worked for the DFSA
- Real-life examples used
- Constitutes 3 hours of learning for the SII CPD scheme

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### ▶ Who should attend?

The course is suited to senior staff and Compliance Officers working in an authorised firm. This course will also suit those moving into a supervisory or managerial role where they will be expected to have a sound understanding of this particular environment and have exposure to the regulator.

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### ▶ Course details

- The risk-based approach to regulation
  - What the DFSA regulates
  - The risk assessment cycle including trigger events
  - Regulatory tools
  - Off-site regulatory activities
  - On-site regulatory activities
  - The risk matrix and what it means to your firm
  - The expectations from both the firm and the regulator of an on-site assessment
  - The outcome from an on-site regulatory assessment
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## ▸ Learning outcomes

After attending this session, attendees will be able to:

- Describe the risk-based regulatory environment, particularly the role of the DFSA, including:
    - How this approach effects your firm's operations
    - What is expected of your firm by the regulator
    - the obligation on Authorised firms to identify and manage business risks
  - Demonstrate an understanding of the risk based tools and activities utilised by DFSA including the:
    - Regular cycle and trigger event on-site assessment
    - Firm's scope of business and category in relation to an assessment
    - Compliance and co-operation
    - Powers and Enforcement
  - Understand the preparation that the firm will need to undertake for an on-site assessment including documentation and availability of personnel and records.
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## ▸ Delivery Methods [available methods depend on the course]

## Bring In-House

If you have a number of people who require the training, you might find it more economical to have the training at your offices. Our trainers are armed with all the equipment and materials necessary. All you need to do is supply the room, and after the course, we'll send your certificates of attendance in the post.

In addition in-house courses can be tailored to meet the precise needs of your business. This could mean tailoring a course for a business unit; combining elements of different courses to match your exact specification; or producing a course from scratch.

### Enquiries

Please complete [the following form](#) and we'll get in touch to discuss your requirements in detail.

## Off-site Training

Our training facilities can also be used for company 'off-site training'. So if you want to have an 'in-house style' training session away from your own offices, or you simply don't have the facilities, then you can use ours.

### Enquiries

Please complete [the following form](#) and we'll get in touch to discuss your requirements in detail.

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## ▾ Trainers