

Senior Management Regulatory Roles & Responsibilities

The DFSA expect Senior Management of all regulated firms to take full responsibility for the Firm's compliance with all rules and regulations, including all of the significant regulatory changes being introduced.

The development of an appropriate risk and control culture and the implementation of an effective risk management structure also add real value to the firm and should not be seen as an exercise undertaken simply to satisfy regulatory obligations.

This course is intended to provide guidance on the significance of Management functions, clarify the role and responsibilities of Management in financial services and identify the importance of the underlying systems and controls in supporting a Firm's Management.

The course will put all these responsibilities into a regulatory context and highlight additional responsibilities resulting from the DFSA's substantial rule changes.

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

Who should attend?

People with responsibility for managing or monitoring business risks and controls including Directors and Senior Managers.

▸ Course details

- The DFSA approach and relevant Laws
 - The international focus on risk
 - Corporate Governance
 - The global regulatory environment
 - The relevant Rules and Principles for business
 - Responsibilities of "Authorised Individuals"
 - Licensed functions
 - Regulatory expectations: Principle 3
 - "Apportionment" and "Oversight"
 - Appropriate systems and controls
 - Evidential provisions
 - Risk Management
-

▸ Learning outcomes

After attending this session, attendees will be able to:

- Demonstrate an understanding of the international focus on risk management and corporate governance
 - Describe the regulatory expectations on Directors and Management
 - "Benchmark" the firm's current arrangements against regulatory requirements and best practice
 - Ensure the firm's arrangements comply with the regulatory requirements
-

▸ 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.

▾ Trainers

Christopher Hobbs

Christopher Hobbs has held senior compliance and anti-money laundering positions in a number of US and European financial services institutions including Lehman Brothers, Smith Barney, ING Barings and Danske Bank.

With an accountancy background and more than 20 years' experience in investment banking, securities, derivatives, corporate banking and asset management, Christopher has an excellent understanding of the issues facing financial services firms and provides expert technical advice and effective implementation strategies across a broad range of regulatory compliance issues. He has engaged closely, and enjoys an excellent reputation, with regulators, exchanges and law enforcement agencies.
