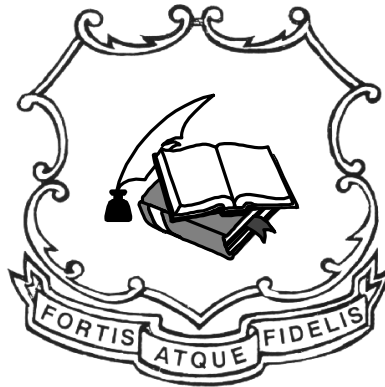


# CONFERENCE: COMPLIANCE MANAGEMENT & PRACTICE

17 NOVEMBER 2008

## AT THE CHESTERFIELD HOTEL

35 Charles Street, Mayfair, London, W1J 5EB  
(Nearest Underground Station: Green Park)



A PRACTICAL CONFERENCE FOR SENIOR  
EXECUTIVES AND COMPLIANCE  
PROFESSIONALS

**ORGANISED BY THE COMPLIANCE REGISTER**

Telephone: (01908) 322450, Fax: (01908) 220213  
Email: [Compliance.Register@btinternet.com](mailto:Compliance.Register@btinternet.com)

Website: [www.ComplianceR.com](http://www.ComplianceR.com)

## MANAGE YOUR RISKS BY GETTING COMPLIANCE RIGHT

### WHY YOU SHOULD ATTEND?

At a time of financial and market turbulence, it is easy for budgets to be cut and compliance neglected. Firms that do so are likely to be sitting on a time bomb and if the bomb does explode, there will be dire consequences. Already we have seen the re-emergence of problems associated with rogue traders, data security, etc. This conference, as the title suggests, is aimed at Compliance Management & Practice. It is focussed on getting the practicalities right rather than on the minutia of the FSA Rules.

What is vital is that firms fully understand their compliance obligations and work diligently to make efficient use of ever more scarce resources. The compliance function needs to be managed effectively to ensure that it delivers the standard required. Getting this right could give you a competitive advantage.

Hear from our team of leading compliance practitioners and learn from their experience. We all know that history repeats itself and by attending, we hope that you will be able to prevent any nasty surprises from happening to your firm.

The conference venue is the fabulous boutique 4-Star Chesterfield Hotel in London. The cost of attendance includes documentation, refreshments, and three-course lunch.

<u>Fees Per Delegate Per Conference</u>	<u>Fee</u>	<u>VAT</u>	<u>Total</u>
a) For The Compliance Register's <b>Members</b> :	310.00	54.25	<b>£364.25</b>
b) Normal Price for non-members*:	410.00	71.75	<b>£481.75</b>
c) Special Package "A"*:	698.00	122.15	<b>£820.15</b>
d) Special Package "B"*:	990.00	173.25	<b>£1,163.25</b>

\*These fees include free membership to 30 June 2009 subject to successful membership application. Package "A" is for two delegates. Package "B" is for three delegates and also includes three seats at The 2008 OSTCaR Awards on 8 December – if you are not able to attend "the OstCaRs", you can nominate a colleague to attend.

### About The Compliance Register

The Compliance Register is a specialist international organisation dedicated to assisting senior managers and compliance staff to achieve high professional standards. It is also our policy to encourage CEOs and MDs to take an active interest in compliance matters and to register as Members. In addition to discounts at conferences/seminars, Members have free access to *The Compliance HelpLine*, and are entitled to use the designatory letters "MCR" after their names. **This conference** is part of our on-going professional education programme which has been *"developed by practitioners for practitioners."* There are two Membership Schemes, namely individual and corporate. To receive our membership brochure, please contact our Secretariat on (01908) 322450 or log on to our website at [www.ComplianceR.com](http://www.ComplianceR.com)

**Reservations, Cancellations & Refunds:** Space is limited. To avoid disappointment, please complete and return the Conference Registration Form by fax to (01908) 220213 as soon as possible followed by your cheque in the post. Places will be allocated on a "first come first served" basis. Refunds, less an administration charge of £100 plus VAT will be made for cancellations received in writing not later than 14 calendar days before the conference. Thereafter no refunds will be made but substitute delegates are welcomed. 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 conference should the need arise.

# COMPLIANCE MANAGEMENT & PRACTICE

DATE: 17 NOVEMBER 2008

## PROGRAMME

<p>08.40: <b>Registration &amp; Coffee</b></p> <p>08.55: <b>Welcome and Chairman's Opening Remarks. Chairman: Peter Szeremeta, Consultant, Financial Services Compliance (EU) Limited</b></p> <p>09.00 <b>Understanding The FSA and the Politics of Regulation – examining the “drivers” behind FSA’s evolving regulatory policy and what initiatives to expect over the next 12 months. Speaker: Brian Harte, Head of Compliance, Royal Bank of Canada</b></p> <p>10.00: <b>Understanding the Components of Effective Compliance Arrangements Speaker: Anita Bhaskar, Head of Compliance, Robert Baird.</b></p> <p>10.50 <b>MORNING COFFEE</b></p> <p>11.10: <b>Laying The Foundations for Good Compliance and Providing Effective Leadership Speaker: Sam Stewart, Head of Compliance, Northern Trust</b></p> <p>12.10: <b>Risk-Based Compliance Monitoring – what the FSA expects and what you should be doing Speaker: Ben Goh, MD, Financial Services Compliance (EU) Limited.</b></p>	<p>12.50 <b>Questions/Discussion</b></p> <p>13.05 <b>LUNCH</b></p> <p>14.15: <b>Developing the Right Compliance Strategy in Turbulent Times Speaker: Gareth Adams, Executive Director, Compliance Strategy, Fidelity</b></p> <p>15.15: <b>Afternoon Tea</b></p> <p>15.35: <b>Market Integrity Issues in Turbulent Markets. Speaker: Jonathan Herbst, Partner, Norton Rose</b></p> <p>16.10: <b>Handling FSA Supervision and Proactive Reputation Management Speaker: Charlotte Hill, Partner, Stephenson Harwood</b></p> <p>17.00: <b>Questions and Discussion</b></p> <p>17.20: <b>Chairman's Closing Remarks and Conclusion</b></p>
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### Law Society CPD Accreditation

Members of the Law Society (England & Wales) attending this conference should qualify for 7 hours of CPD credit. Members of other professional bodies may also claim CPD from their respective bodies. Certificates of attendance are available on request.

### Certificate in Compliance Studies (“CCS”)

The CCS will be awarded to those who attend the following four events namely Compliance Management & Practice (17 November), COBS Technical Conference (10 November), MLROs Annual Conference (4 December), and The FSMA Regulatory Regime (29 January 2009).

## CONFERENCE: COMPLIANCE MANAGEMENT & PRACTICE

17 November 2008 at The Chesterfield Hotel, London

### REGISTRATION FORM

*(Please photocopy this form as required.)*

Mr, Mrs, Miss or Title	First Names
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Surname	Position
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Company
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Address
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Town
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Postcode	Telephone	Fax
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Email
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Are you, at the time of completing this form, a member of The Compliance Register?		
<b>Please Tick:</b>	Yes	No

If you are not a member, do you wish to apply for complimentary membership to 30 June 2009 now?		
<b>Please Tick:</b>	Yes	No

Please describe any special dietary requirements.
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#### NOTES

1. Please make all cheques payable to The Compliance Register Limited and crossed "A/C Payee Only".

2. Registration Forms should be sent by fax to 01908 220213 initially followed by the original and cheque in the post to:-

Ben Goh, Secretary, 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 on our website at [www.ComplianceR.com](http://www.ComplianceR.com)