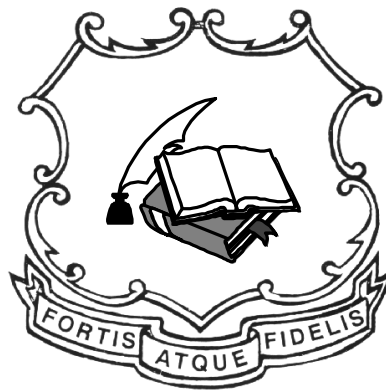


# TECHNICAL CONFERENCES FOR MEETING FSA REQUIREMENTS

- THE FSMA REGULATORY REGIME
- COBS – THE CONDUCT OF BUSINESS RULES

## AT THE CHESTERFIELD HOTEL

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



A SERIES OF TECHNICAL CONFERENCES TO  
HELP FIRMS COMPLY WITH FSA REQUIREMENTS

## 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)

## TECHNICAL CONFERENCES – HELPING YOU TO COMPLY

### WHAT IS A TECHNICAL CONFERENCE?

These two technical conferences are intended to provide compliance and senior executives with a good foundation and understanding of the essential subjects that are fundamental to proper compliance. These conferences will focus much more on technical detail compared to normal conferences which tend to be high-level.

The subject matter is also approached from the perspective of the professional practitioner rather than industry sector – this is vital for proper understanding of what the rules require and being able to apply the requirements across relevant sectors of financial services. Gaining a proper understanding of the subject matter is obviously vital to ensure that the compliance requirements are properly understood and the first step in ensuring effective compliance.

A special feature of our technical conferences is that the number of delegates will be restricted to a maximum of 30 per conference. The small number should facilitate discussion and interaction with the speakers and other delegates.

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

<b>Fees Per Delegate Per Conference</b>	<b>Fee</b>	<b>VAT</b>	<b>Total</b>
a) For The Compliance Register's <b>Members</b> :	310.00	46.50	£356.50
b) Normal Price for non-members*:	410.00	61.50	£471.50
c) Special Package "A"*:	698.00	104.70	£802.70
d) Special Package "B"*:	990.00	148.50	£1,138.50

\*These fees include free membership to 30 June 2009 subject to successful membership application. Package "A" is for two delegates at one conference or for one delegate attending two conferences. Package "B" is for three delegates to attend any of the two conferences in this brochure. Vat applied at new rate of 15%.

### 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.

**TECHNICAL CONFERENCE:  
CONDUCT OF BUSINESS RULES (COBS)  
DATE: 10 NOVEMBER 2008; CONFERENCE CODE: COBS**

**PROGRAMME**

<p><b>08.40</b> <i>Registration &amp; Coffee</i></p> <p><b>09.00</b> <i>Chairman's Introduction</i> <b>Speaker: Peter Szeremeta, Consultant, Financial Services Compliance (EU) Limited.</b></p> <p><b>09.05</b> <i>Introduction to COBS</i></p> <ul style="list-style-type: none"><li>• Conduct of business obligations</li><li>• Client categorisations</li></ul> <p><b>Speaker: Charlotte Hill, Partner, Stephenson Harwood</b></p> <p><b>10.05</b> <i>Communicating with clients including financial promotions</i></p> <ul style="list-style-type: none"><li>• Fundamental requirements</li><li>• Cold calls and other promotions that are not in writing including those with an overseas element</li><li>• Direct offers and retail clients</li><li>• Unregulated collective investment schemes</li><li>• Approving financial promotions</li><li>• Distance communications and E-Commerce</li><li>• Recording of telephone and electronic communications</li></ul> <p><b>Speaker: Emma Radmore, Senior Solicitor, Denton Wilde Sapte.</b></p> <p><b>11.15</b> <i>Morning Coffee</i></p> <p><b>11.30</b> <i>Information about the firm, its services and remuneration</i></p> <ul style="list-style-type: none"><li>• Information requirements</li><li>• Initial Disclosure Document and Menu for advising on packaged products</li><li>• De-polarisation update</li></ul> <p><b>Speaker: Michael Wainwright, Partner, Eversheds.</b></p> <p><b>12.30</b> <i>Appropriateness requirements</i></p> <ul style="list-style-type: none"><li>• What is appropriateness and how does it differ from suitability?</li><li>• When does appropriateness apply?</li></ul> <p><b>Speaker: Richard Stones, Consultant, Lovells</b></p>	<p><b>13.15</b> <i>Lunch</i></p> <p><b>14.15</b> <i>Dealing and Managing; Investment Research</i></p> <ul style="list-style-type: none"><li>• Best execution and handling client orders</li><li>• Use of dealing commissions</li><li>• Personal account dealing</li><li>• Investment research</li></ul> <p><b>Speaker: Ben Goh, MD, Financial Services Compliance (EU) Limited.</b></p> <p><b>15.00</b> <i>Product information, cancellation rights and client reporting requirements</i></p> <ul style="list-style-type: none"><li>• Product information including key features document/illustration; projections, charges</li><li>• Cancellation rights – when and how do they apply?</li><li>• Client reporting requirements</li></ul> <p><b>Speaker: Stephen Mitchell, Director and Head of Compliance, FundQuest.</b></p> <p><b>15.45</b> <i>Afternoon Tea</i></p> <p><b>16.00</b> <i>Retail Distribution Review</i></p> <ul style="list-style-type: none"><li>• Who is affected?</li><li>• Time-table and action points</li></ul> <p><b>Speaker: Tony Bronk, Director, BDO Stoy Hayward</b></p> <p><b>16.40</b> <i>Questions and Discussion</i></p> <p><b>17.00</b> – <i>Conclusion</i></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.

**TECHNICAL CONFERENCE:  
THE FSMA REGULATORY REGIME**  
DATE: 29 JANUARY 2009; CONFERENCE CODE: TFRR

**PROGRAMME**

<p>08:40 <b>Registration and Coffee</b></p> <p>08.55 <b>Chairman's introduction</b> <b>Speaker: (to be announced)</b></p> <p>09:00 <b>Understanding the provisions of The Financial Services &amp; Markets Act 2000 and what are Regulated Activities.</b> <b>Speaker: Emma Radmore, Senior Solicitor, Denton Wilde Sapte</b></p> <p>10:10 <b>The FSA Authorisation Process - meeting the criteria for authorisation and on-going obligations.</b> <b>Speaker: Michael Thomas, Senior Associate, Lovells</b></p> <p>11:00 <b>Morning Coffee</b></p> <p>11:20 <b>Understanding More Principles Based Regulation (MPBR) and what this means in practice.</b> <b>Speaker: Peter Snowdon, Barrister, Norton Rose</b></p> <p>12:00 <b>The SYSC Sourcebook and the meaning of "proper systems and controls".</b> <b>Speaker: Ashley Kovas, Head of Group Compliance (Funds), Prudential</b></p>	<p>12:40 <b>Questions and Discussion</b></p> <p>12:55 <b>Lunch</b></p> <p>14:10 <b>What are Approved Persons &amp; Controlled Functions and how they impact on firms.</b> <b>Speaker: Michael Wainwright, Partner, Eversheds</b></p> <p>15:00 <b>FSA's Integrated Regulatory Reporting (IRR) Update.</b> <b>Speaker: Paul Leech, Director, Deloitte</b></p> <p>15:45 <b>Afternoon Tea</b></p> <p>16:00 <b>Training &amp; Competence Requirements –what the TC Sourcebook requires.</b> <b>Speaker: Sanchai Wannanipayon, Deloitte</b></p> <p>16:55 <b>Questions and discussion</b></p> <p>17:15 <b>Chairman's Conclusion</b></p>
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**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 (24 March 2009), and The FSMA Regulatory Regime (29 January 2009).

**2008-9 TECHNICAL CONFERENCES**  
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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CONFERENCE CODE:
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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.
4. Updated versions of this brochure will be available on our website at [www.ComplianceR.com](http://www.ComplianceR.com)