



Seminar

Wednesday 5th June 2019

The Senior Managers and Certification Regime: practical insights into managing an individual's mistakes, misconduct or integrity failings in the regulatory context

This BACFI seminar will look at the impact of the biggest change in decades in the regulation of individuals in financial services: the Senior Managers and Certification Regime (**the SMCR**). From 9 December 2019, the SMCR will be extended to all financial firms that are solely regulated by the FCA – introducing a huge change in how many firms and individuals are regulated.

This seminar will focus on the practical reality of the regime, bringing together a panel of industry experts from both private practice and in house to look at some of the more difficult issues, including the following topics:

- conduct: who decides what is fit and proper?
- certification and regulatory references: the process and the pitfalls
- managing internal investigations: misconduct and dealing with individuals
- enforcement action: who is accountable and what for?

**Kindly hosted by
Peters and Peters LLP, 15 Fetter Lane, London EC4A 1BW
6pm (registration 5.30pm)**

Followed by drinks and networking

Attendance at the seminar is free for BACFI members, £20 non-members. To attend you must register beforehand due to limited spaces and security arrangements at the venue.

To register or if you have any queries please email events@bacfi.org or call 07507237218

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