



Compliance Induction Training

Compliance induction training is essential for all new employees in regulated financial services businesses.

Compliance induction will ensure that employees have an understanding of their regulatory and ethical responsibilities, while garnering an understanding that compliance with these obligations provides protection to both the employee and the firm.

Resolve can offer bespoke induction training in-house or alternatively book your new employees onto our regular training sessions.



Resolve Partners Limited
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COMPLIANCE INDUCTION TRAINING

COURSE CONTENT

Course Date Options

8 December 2015

12 January 2016

9 February 2016

8 March 2016

Course Duration

3 Hours

9.30 am to 12.30pm

Fees

£150 per delegate

(Discounts for 3+)

The course will cover:-

- The regulatory environment
- The role of the Regulator and Methods of Supervision
- Compliance and the risk based approach
- Corporate governance and the Board
- The role of the Compliance Officer
- Responsibilities of the Compliance Function
- Defect management - breaches, errors and complaints
- Personal compliance obligations
 - ◇ Internal controls - operational risk
 - ◇ Financial crime
 - ◇ Personal conduct
 - ◇ Gifts and entertainment
 - ◇ Conflicts of interest
 - ◇ Personal dealing & market conduct
 - ◇ Data protection
 - ◇ Information & systems security
 - ◇ Confidential information

Please return to:

Resolve Partners Ltd
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GY1 2JD

COMPLIANCE INDUCTION TRAINING BOOKING FORM

Delegate Name: Work Contact No:

Firm Name: Mobile:.....

Firm Address:

..... Postcode:

Delegate Email:

HR Email: Amount Enc. £ .

Signed:..... Print Name:

Course Date Required:

8 December 2015 9 February 2016

12 January 2016 8 March 2016



The Venue will be advised once delegate numbers have been confirmed

Terms and Conditions

Full payment must accompany bookings. Cancellations must be made in writing (email accepted). Cancellations received more than 28 days in advance will receive a full refund. Cancellations received between 10 and 28 days will receive a 50% refund and cancellations received less than 10 days in advance will receive zero refund. Delegates can substituted at any time prior to course commencement.