

The Securities & Investment Institute's

TRAINING & COMPETENCE 2009

Maintaining professionalism in the current climate

8 July 2009

Saddlers' Hall,
40 Gutter Lane, London EC2V 6BR

TOPICS TO BE ADDRESSED:

- **Preparing for the RDR**
- **Identifying, reporting and managing ethical lapses**
- **Communicating the importance of soft skills development in T&C**
- **Wholesale versus retail qualifications: will these change again?**
- **Establishing an effective performance management process**
- **Assessing and remediating senior management competence**

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WHO SHOULD ATTEND?

This is an unmissable event
for those working in:

- ✓ Training
- ✓ Compliance
- ✓ Human Resources
- ✓ Personnel
- ✓ Learning and Development
- ✓ Education
- ✓ People Development

HEAR FROM THE EXPERTS:

Nausicaa Delfas, Head of Department,
Retail Policy and Conduct Risk, FSA

Nicholas Walmsley, Director, Compliance Training,
DEUTSCHE BANK

Stephen Sanders FSI, Group Head of Regulatory &
Operational Risk, RBS

John Barrass, Deputy Chief Executive, APCIMS

Bruce Herrington ASI, Senior Competency Manager,
BREWIN DOLPHIN

Ruth Martin, Managing Director,
SECURITIES & INVESTMENT INSTITUTE

Laura Ellenhorn, General Counsel and
Chief Compliance Officer, UK,
EDWARD JONES

Etay Katz, Senior Associate, ALLEN & OVERY

Simon Webley, Research Director,
INSTITUTE OF BUSINESS ETHICS

Mark O'Connor, Trainer,
TE DEVELOPMENT

Sarah Thwaites, Director of Skills Development,
FSSC

TRAINING AND COMPETENCE CONFERENCE

WHY ATTEND THIS CONFERENCE?

The global banking crisis has created many challenges for training and competence both in the form of employee management and training and the regulatory framework. At the same time the RDR demands a higher minimum level of qualification for individuals, the approved persons regime will be holding non-executive directors accountable if they fail to fulfil their duties with competence and integrity.

Training & Competence 2009 will examine these and other key issues affecting the industry at the moment including:

- ✓ New regulatory requirements required in the light of recent market developments
- ✓ Communicating the importance of soft skills development in training and competence
- ✓ Establishing an effective performance management measurement process

Benefit from the opportunity to share experiences with other delegates at this practical and interactive event guaranteed to enhance learning and networking.

RDR SII OPEN DAY

London Chamber of Commerce

Tuesday 14 July 2009

- ✓ Learn more about the implications of the FSA's changes to the regulatory qualifications requirements for advisers and investment managers, the raising of professional standards and how continuing professional development can help.
- ✓ Discover how the SII's stand-alone Private Client Investment Advice and Management (PCIAM) qualification can help you to fulfil the higher-level qualification requirements, in advance of the new standards.

Workshops including revision seminars, ethics events and qualifications briefings all designed to help you to prepare for the changes.

To book your free place, contact the Events team on +44 (0)20 7645 0652 or by email at flagshipevents@sii.org.uk

09:30 CHAIRMAN'S OPENING REMARKS

Nicholas Walmsley, Director, Compliance Training,
DEUTSCHE BANK

09:40 THE IMPACT OF REGULATORY CHANGE ON TRAINING AND DEVELOPMENT IN BANKS

- Increased focus and changing expectations
- Building out training from a wider framework of corporate standards
- Linking training to talent development
- Using technology to deliver - and test
- Getting stakeholder engagement

Stephen Sanders FSI, Group Head of Regulatory and Operational Risk, RBS

10:20 SENIOR MANAGEMENT COMPETENCE: ASSESSING AND REMEDIATING

- Embedding competence in local supervisory frameworks and procedures
- Corporate culture

Etay Katz, Senior Associate, ALLEN & OVERY

11:00 MORNING BREAK

11:20 WHOLESALE VERSUS RETAIL QUALIFICATION REQUIREMENTS: WILL THESE CHANGE AGAIN?

- Ensuring people understand training & competence
- Ensuring a minimum level of qualifications
- Standardising professional qualifications across the group
- Ensuring role-relevant training (both for new entrants and experienced professionals)

Ruth Martin, Managing Director,
SECURITIES & INVESTMENT INSTITUTE

12:00 DEFINING GOOD BEHAVIOURAL AND ETHICAL PERFORMANCE

- What does being ethical mean? What are integrity risks?
- Identifying, reporting and managing ethical lapses
- Incentivising good behaviour

Simon Webley, Research Director, INSTITUTE OF BUSINESS ETHICS

12:40 LUNCH

TO REGISTER:

Tel: +44 (0)20 7645 0680

13:40 PANEL: HOW RELEVANT IS THE TRAINING AND COMPETENCE FRAMEWORK IN THE CURRENT ENVIRONMENT?

- Areas of risk which were not fully considered
- New regulatory requirements which may be required in the light of recent market conditions
- Using the training and competence framework to manage risks

John Barrass, Deputy Chief Executive, APCIMS

Bruce Herrington ASI, Senior Competency Manager,
BREWIN DOLPHIN

Sarah Thwaites, Director of Skills Development, FSSC

14:20 COMMUNICATING THE IMPORTANCE OF SOFT SKILLS DEVELOPMENT IN TRAINING AND COMPETENCE

- Soft Skills — A ‘nice to have’ or essential?
- The impact of engagement to the bottom line
- Are my staff and customers engaged?

Mark O’Connor, Trainer, TE Development

15:00 AFTERNOON BREAK

15:20 PREPARING FOR THE RDR

- Interpreting the requirements of the RDR across different industry areas
- Implementation of the RDR
- The notion of work-based assessment

Nausicaa Delfas, Head of Department,
Retail Policy and Conduct Risk, FSA

15:50 EFFECTIVELY ESTABLISHING AND MONITORING EMPLOYEE COMPETENCE

- Establishing an effective performance management process with measurements
- What impacts poor performance?
- Ensuring leadership is involved in measuring competence
- Educating associates to help reduce operational errors

Laura Ellenhorn, General Counsel and Chief Compliance Officer, UK,
EDWARD JONES

16:30 CHAIRMAN’S CLOSING REMARKS

16:40 CLOSE OF CONFERENCE

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