



Spring Workshop – Agenda

Compliance Session – 10.30 pm – 1.00 pm

Market update

An open discussion about the current trading environment for brokers and the latest market developments.

Regulatory round up of the key current issues affecting GI firms, including:

- Insurer security
- FSA Fees
- FSA to FCA update
- FSA Business Plan update

FSA Risk Awareness Initiative

The FSA has recently begun a piece of work on risk awareness amongst small firms. This consists of 3 stages; regional workshops, regulatory review and follow up work. In this session we will look at the typical issues which will be covered by the FSA at each stage and assist member firms to prepare for workshop attendance and regulatory review. This is a key session as FSA have confirmed that they intend to see all small firms over the coming four years.

Financial Sanctions

With firms facing increasing demands from providers and other intermediaries to explain how they comply with the Treasury's Financial Sanctions requirements, we will review the options available to firms.

Financial Crime

Following the issue of the FSA's Guide to Financial Crime in December we will follow up previous work covered in this area to assist firms in meeting FSA expectations.

Workshop Closes – 1.00pm

Lunch