

ICA Essentials Workshop Series: Conduct Risk Management

Conduct, and the risks associated with poor conduct, has been a regulatory hot topic for a number of years. Poor conduct takes many forms, from interactions with individual consumers to cultural behaviours in the markets. Understanding what good conduct looks like, and the benefits obtained, helps firms to manage conduct risks more effectively.

What will you learn?

How the conduct agenda developed

- Recognising drivers that have contributed to the evolution in the conduct agenda, and established universal definitions helps firms to understand the significance of governance, frameworks and being aware of new developments.

What does good conduct look like?

- Definitions of company, customer and company conduct, and the benefits that good conduct in these spaces can bring to a firm.

The impacts of poor conduct

- Potential negative impacts of poor conduct risk management for a firm, customers and the market

Conduct risk in practice

- Practical examples of regulation, directives and areas of concern, and their link to conduct and conduct risk management are examined to identify best practices and published regulatory requirements.

Related Course: ICA Specialist Certificate in Conduct Risk