A Guide to our Learning & Development Services

We partner with you to navigate the journey
of managing risk and regulation with confidence.

"Speak in French when you can't think of the English for a thing… turn out your toes as you walk—and remember who you are!"

The Red Queen in Through the Looking Glass" by Lewis Carroll.

In high-pressure roles in the financial services sector people are expected to think on their feet, maintain professional standards, and stay anchored in their values.

Our Training & Development

How We Can Help:

- Our ambition is to support firms in developing their talented individuals throughout their careers in financial services - empowering both the firm and the business to succeed and developing a confident and credible workforce to fulfil some of the most exciting and influential leadership roles in the sector.

- We provide tailored training and coaching for boards, SMF holders and senior leaders, tailored to those in small to mid tier firms that are growing and changing. Our development programmes offer practical, role-specific support—from technical skill to ongoing professional development—designed to build competence and confidence.

About Us:

- Our consultants, coaches and trainers have a breadth of experience across financial services sectors and disciplines and can provide tailored support to meet your needs.

About Our Clients:

- Our clients span the full range of financial services activities including banking, wealth & asset management, brokerage, lending, payments and insurance. We focus on the financial services sector and so, whether you’re a start-up or a more established multinational enterprise, we can provide you with a training solution that is appropriate for your business.

Our Services at a Glance

We offer specialist learning and development planning to the financial services industry. Our experienced team can help you identify, plan for and address learning and development needs across your senior leadership team as your business grows and changes.

1. Learning & Development Planning
2. Online & In Person Technical Training
3. Coaching & Mentoring Senior Leaders
4. Executive and Board Skills Assessments
5. Governance & Board Effectiveness Reviews
6. SMF Application / Interview Preparation
7. Reasonable Steps & SMCR Compliance

Learning & Development Planning – we work with your senior management to identify gaps in competencies against your current or future target roles, set objectives and plan activities to help them on that path.

Online & In Person Training – covering a range of risk and regulation topics from compliance and consumer duty, to prudential regulations and how to manage supervision. A selection of course descriptors is on slides 13-39.

Coaching & Mentoring – aimed at those new in role or growing into an expanded remit, we can work alongside your colleagues as they grow in confidence in technical delivery and executive / board level leadership.

Executive & Board Skills Assessments – designed to ensure the skills of your senior management are up to date and appropriate to the activities undertaken by your regulated firm and in line with SMCR expectations.

Governance & Board Effectiveness Reviews – structured evaluations of committee structures, terms of reference and how well your Board is performing across leadership, culture, decision-making, and oversight.

SMF Application/Interview Preparation – reviewing the application & supporting documentation, coaching individuals for interview with tailored questions, mock interviews & techniques.

Reasonable Steps & SMCR Compliance – designed to help your SMFs feel comfortable they are taking the reasonable steps required under SMCR and make regulatory attestations where required.

Our Approach

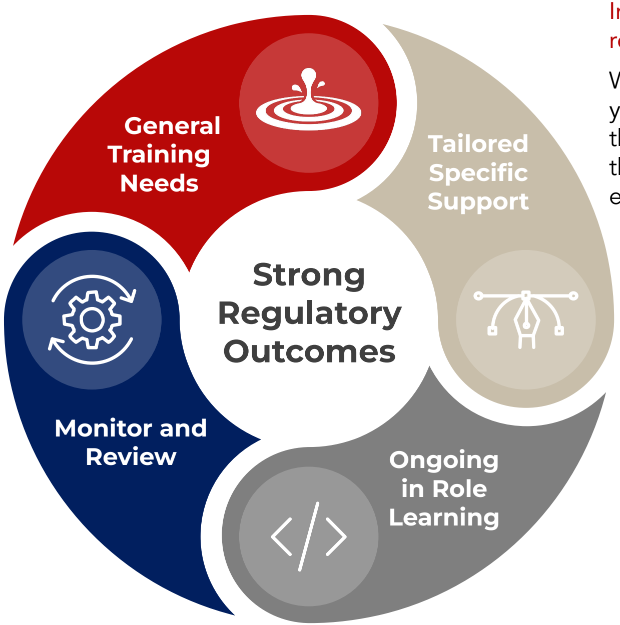
We can help you to assess and maintain competence. Competence means having the skills, knowledge and expertise needed to discharge the responsibilities of an employee's role. Firms must have procedures in place with clear criteria for individuals to be assessed, so all parties involved understand when competence has been reached. Firms must review employee competence and training needs regularly, considering changes in the marketplace and products, regulation and legislation and make sure appropriate training is provided.

Our flexible delivery models include on-line and face to face training and virtual workshops covering core regulatory and compliance topics.

We specialise in financial services, so our training is built around the unique regulatory, customer and operational challenges of the sector — ensuring your teams get relevant, actionable learning that meets compliance and business needs.

Monitoring and reviewing performance is an essential control in Financial Services to protect customers, the firm and to continue to meet regulatory expectations.

We can support you with Board Effectiveness Reviews, regulatory audits and thematic reviews to ensure that firms are compliant with their training and competency policy and CPD requirements.



In financial services, different roles carry very different responsibilities, risks and regulatory expectations.

Working with you to map the specific requirements for your role and build a learning and development plan that will help you build and maintain competence, be that as a new leader applying for a SMCR role, an existing senior leader or member of the Board.

Continuous development of knowledge, skills, and behaviours within the scope of your current job responsibilities to demonstrate how you maintain competence.

We can provide in role coaching, case studies and workshops and awareness sessions to help you keep up with rapidly changing regulation to enhance your compliance and commercial performance.

REDQUEEN
ADVISORY LIMITED

Flexible Training Courses and Workshops for Financial Services Firms

We currently offer the training courses listed below that are relevant for all regulated financial services firms. These can be booked online from our website or LinkedIn pages on an individual basis against our published timetable or can be run as tailored events within your firm. If there is a course you are looking for that is not listed, get in touch and we will see if we can help.

1. Understanding and Managing Regulators
2. Senior Managers Regime & Governance
3. Regulatory Applications & Authorisations
4. Risk Management Frameworks & Appetite
5. Managing Outsourcing & Third Party Risk
6. Operational Resilience
7. Consumer Duty
8. Effective Compliance
9. Financial Crime Prevention & AML
10. Sustainable Finance Disclosure Regulation (SFDR)

REDQUEEN
ADVISORY LIMITED

Flexible Training Courses and Workshops for Banks

We currently offer the training courses listed below that are relevant for all regulated financial services firms. These can be booked online from our website or LinkedIn pages on an individual basis against our published timetable or can be run as tailored events within your firm. If there is a course you are looking for that is not listed, get in touch and we will see if we can help.

1. Internal Capital Adequacy (ICAAP)
2. Internal Liquidity Adequacy (ILAAP)
3. Regulatory Reporting
4. Recovery Planning
5. Solvent Exit and Wind-Down Planning
6. Climate Risk
7. Regulatory Visits

Flexible Training Courses and Workshops for Investment Firms

We currently offer the training courses listed below that are relevant for all regulated financial services firms. These can be booked online from our website or LinkedIn pages on an individual basis against our published timetable or can be run as tailored events within your firm. If there is a course you are looking for that is not listed, get in touch and we will see if we can help.

1. IFPR Fundamentals & Regulatory Reporting Excellence
2. ICARA Process Optimisation
3. Liquidity Risk Management
4. MiFID II Best Execution & Transaction Reporting (Inc. Product Governance & Target Market, Suitability & Appropriateness Assessments)
5. Client Asset Protection
6. Market Abuse Regulation (MAR) Planning
7. AIFMD / AIFMD 2.0
8. Sustainable Finance Disclosure Regulation (SFDR)

REDQUEEN ADVISORY LIMITED

Board Effectiveness, Leadership Development & Succession Planning

Most FS firms complete an internal Board effectiveness review annually, and listed firms are now required to attest to the adequacy of the internal controls. Typically areas covered can include:

- → **Governance Structure:** Clarity of roles, committee structures and terms of reference
- → **Competency & Capability:** Skills, experience, diversity, independence & balance of exec vs NEDs
- → **Board Dynamics & Culture:** Quality of debate, openness, avoiding groupthink
- → **Board Processes and Policies:** Quality & timeliness of board papers
- → **Risk Oversight & Controls:** Understanding of key risks, approval of the risk management framework and risk appetite, oversight of compliance and audit actions
- → **Regulatory Compliance:** Board awareness of regulatory obligations and training provided on emerging regulation
- → **Strategy & Performance:** Clarity of strategic direction, monitoring operational and financial performance
- → **Customer Focus & Consumer Duty :** Consideration of conduct risks and fair treatment of customer
- → **Succession & Development Planning:** Board succession planning and ongoing training programmes
- → **Stakeholder Engagement:** Evidence of considering stakeholders
- → **Decision Making :** Evidence of making informed, timely decisions

Learning and development planning for individuals and succession planning for firms is essential for ensuring your team are appropriately skilled and resilient. Development and planning services include:

- → **Skills Assessment:** Questionnaires and interviews to identify skills gaps across the leadership team and within key individuals.
- → **Team Development Planning:** Often in response to strategic or regulatory changes that can requires significant change, often associated with a mixture of strategic hires, technical training and mentoring to develop and embed new ways of working
- → **Individual Development Planning:** For those new in role or identified as top talent and being prepare to take on new challenges in future
- → **Training & Competence Framework:** Ensuring clear role based competencies aligned to regulatory obligations, relevant policies, training programmes and sign off points adhered to.
- → **Certification Regime:** Testing annual certification process, evidence of fit and proper assessments and record keeping.
- → **Thematic Reviews of Competence:** Targeted review of specific roles or departments to check they meet competence requirements.
- → **Root Cause Reviews:** Reviewing complaints and breach data to identify skills, competence or training gaps.

Board Advisory Services

A Regulatory Board Advisor plays a very particular role providing independent, expert guidance to help boards meet their regulatory, governance, and risk obligations.

Their value lies in translating often-complex regulatory expectations into practical boardroom action. They can be used effectively as a bridging role during transitions or when specific expertise is required.

- → Support the board in anticipating, interpreting, and responding to regulatory developments.
- → Strengthen the board's oversight of risk, conduct, and compliance without displacing executive accountability.
- → Act as a critical friend: bringing regulatory challenge, but in a constructive way that helps the firm stay ahead.
- → Can be engaged for a specific project e.g. resulting from strategic changes as a firm grows and scales, taking on new responsibilities or permissions or an ongoing advisory basis.

Examples of How a Board Advisor can Support Firms:

Regulatory Horizon-scanning
- → Track upcoming FCA/PRA/BoE (and international, if relevant) changes.
- → Advise on implications for strategy, governance, capital, operational resilience, etc.

Board Effectiveness
- → Ensure the board understands its SMCR accountabilities.
- → Guide directors on evidencing "reasonable steps" in decisions.
- → Recommend training/briefings to close knowledge gaps.

Governance and Culture
- → Stress-test board committees' terms of reference, escalation routes, and decision-making.
- → Challenge whether culture, incentives, and conduct really align with regulatory expectations.

Regulator Engagement
- → Coach board members for supervisory meetings or s166 reviews.
- → Support the firm in shaping clear, credible responses to regulators.

Independent Challenge
- → Provide objective assurance on risk appetite, business model changes, or transformation programmes.
- → Ask the "uncomfortable" questions that executives may avoid.

How We Work

Working arrangements are flexible and negotiable to fit your requirements. We can develop bespoke learning packages to suit your needs, from one off training courses to skills assessment and development planning for your complete senior leadership team. Pay as you go and package purchase options are available.

As well as Training, Examples of Services Include:

- Skills assessment informed development plans for your board and senior management team on an individual and group basis
- Senior leadership coaching for individuals on a regular or ad hoc basis, including in role work shadowing based support
- Awareness sessions with you executive team and board to discuss key technical regulatory documents such as the ICAAP
- Workshops with teams to discuss and understand new regulatory policy

Our contracts provide a professional services agreement to which we can easily and quickly add additional statements of work should your requirements change. Or, if you prefer, we are able to contract under your own consulting services contracts.

If you are unsure and want to talk openly about your plans with comfort that your company secrets will be protected, we can arrange non disclosure agreements to initiate discussions.

Commercials	£ Price starting from
Online Training in Mixed Attendee Groups (discounts for multiple buys negotiable)	£200 per person
Senior Leadership Coaching	£200 p/h
Board Effectiveness Review	From £4,950
Firm Specific Training Session (unlimited attendees)	From £2,000
Board Training Sessions (max. 20 attendees)	From £2,500
Board Advisory	From £3000 (retained)
Skills Assessment and Development Planning	From £800 pp (min. 6 individuals)

Tailored Support & in Role Learning: Project Examples

Executive Coaching - New in Role:
Worked alongside a new CRO in developing their prudential and board influencing skills. Set objectives to work through, providing advice and tools to achieve outcomes. Spent time reviewing key documents, committee packs and policies in parallel to the individual, providing support until they had the confidence to lead these activities alone. As a result the CRO was more able to provide the technical challenge and oversight needed from a CRO whilst managing the senior leadership team appropriately.

SMF Interview Preparation:
Supported a CEO that was new in role to the firm and UK setting in preparing for regulatory interview. We provided bespoke support that was tailored to the needs of the individual that included training on UK regulations, coaching on how to approach interactions with UK regulators and mock interviews to help the candidate build their skills and confidence. As a result the CEO was able to successfully navigate interviews with the regulators and gain approval. This CEO found the training so valuable they have decided to continue with ongoing coaching to help them remain focused on the regulatory agenda.

Executive Coaching - Personal Development
Worked alongside an existing CRO that was working to develop the risk culture within the firm and work on their own leading and influencing skills. Supported the CRO in evaluating the risk function, forming action plans and agreeing this through governance. Identified areas of personal stress and reduced impact, providing tools to test in forthcoming situations to negate these. The broader management team and individual reported positive change as a result of this work.

Awareness Sessions:
Engaged by a trade association to deliver a series of awareness raising sessions to senior leaders covering Operational Resilience, Consumer Duty and Stress Testing. Our experienced trainers provided insight on regulatory expectations and best practices in a manner easily understood by those new to such topics, and facilitated discussion forums for attendees to raise questions and provide support to each other in a safe space.

Solvent Wind Down Training: Delivered online and in person training on Solvent Wind Down Analysis (SEA) to a building society, overseas subsidiary and a non-systemic bank for a group of senior leaders and executives. In each case the training was tailored to the business model and barriers / risks associated with each business to give the teams tangible examples that they could use in developing their own SEAs. This gave the firms' the tools they needed to complete their first SEA and for executives to provide effective challenge.

Development Planning
Delivered in person training to a new in role CEO on SMCR, being regulated in the UK, risk management and governance. This enabled the CEO to identify personal areas for development and put in place a development plan that combined technical training, in role development and enhancements to the firm's internal operations.

Our Clients and Testimonials

Don't just take it from us - here's what some of our clients have to say about working with Red Queen Advisory Limited

THE FAMILY BUILDING SOCIETY

"Red Queen were asked to give an opinion on the capital treatment for credit risk. They gave a clear and comprehensive overview of the applicable rules and guidance, helping us to gain a much better understanding of the correct approach for these exposures. We would definitely seek their advice again if we encountered a similar issue in the future."

"Red Queen Advisory, led by Stephanie, brings an agile approach that combines deep experience with efficient execution.

Their professionalism and genuine care helped us cross the finish line smoothly, ensuring our goals were fully achieved."

Knabu

Melton Building Society

"For myself and Melton Building Society, working with Steph has been a pleasure from the outset. She brings an excellent level of knowledge and expertise on prudential and regulatory matters, whilst providing support and training in a way which is easy to understand. Steph has been incredibly flexible towards our timescales and needs, and in addition to being extremely knowledgeable she has been especially easy to work with throughout. I wouldn't hesitate to recommend her services to anyone."

"Red Queen has been instrumental in supporting FirstBank UK with updating our ICAAP, ILAAP, and Recovery Plan to align fully with industry standards.

Their collaborative approach combined structured workshops, expert guidance, and rigorous documentation reviews. We highly recommend Red Queen for their quality and professionalism."

FirstBank UK

Disclaimer: All testimonials have been shared with permission and reflect the individual views of the names clients. Use of company names or logos does not imply any ongoing partnership or formal endorsement. All trademarks remain the property of their respective owners

REDQUEEN
ADVISORY LIMITED

Flexible Training & Workshops for Financial Services

Understanding & Managing Regulators

Pricing £200 per person [minimum and maximum numbers apply]
Company package pricing for unlimited attendees starting at £1500

Course Description: Regulatory landscape in the UK

- This course is designed to help individuals working in regulated firms or those seeking regulatory authorisation manage regulatory interactions more smoothly. By providing you with an understand the thought processes and driviners of regulators, hints and tips for approaching regulatory interactions, and the tools and levers available to them, you will be better prepared to reach good regulatory outcomes.

- *Important Information:* This course will be delivered in an online format and is 1.5 hours long

Why Attend: Learning Objectives:

- Understand the role of His Majesty's Treasury (HMT), the Bank of England (BoE), the Prudential Regulatory Authority (PRA), Financial Conduct Authority (FCA) and Financial Ombudsman Service (FOS) in oversight of financial services in the UK
- Describe the objectives and key priorities of the FCA and PRA
- Understand the supervisory approach applied by the FCA and PRA, the supervisory tools available to them and what this means for regulatory interactions
- Describe implications for regulatory affairs management, common practises and potential pitfalls
- Familiarity with typical regulatory meeting agendas, questions and skills for success in these interactions.

Who Should Attend:

- Individuals likely to interact with UK regulators
- Those responsible for documentation, operations and oversight of regulated activities.
- Individuals newly approved as SMFs or newly certified.
- Also useful for high-potential talent pipelines preparing for future senior roles.
- Individuals and firms applying for regulatory approvals
- Board members and iNEDs

Senior Managers Regime & Governance

Pricing £250 per person [minimum and maximum numbers apply]
Company package pricing for unlimited attendees starting at £1500

Course Description: The Senior Managers & Certification Regime and Corporate Governance

- This course provides an in-depth understanding of corporate governance principles and the Senior Managers & Certification Regime (SMCR) regulatory framework, focusing on their application within UK financial services firms. Participants will explore how effective governance structures support accountability, ethical conduct, and regulatory compliance. The course also demystifies the roles and responsibilities introduced by SMCR, empowering leaders and certified staff to meet their obligations confidently.
- *Important Information:* This course will be delivered in an online format and is 2 hours long

Why Attend: Learning Objectives:

- Define the principles of effective corporate governance and explain their importance in maintaining trust and financial stability within regulated firms.
- Describe the structure and key requirements of the Senior Managers and Certification Regime (SMCR), including: the Senior Managers Regime, the Certification Regime, the Conduct Rules
- Identify the individual roles and responsibilities introduced by SMCR, including the need for Statements of Responsibilities and reasonable steps obligations under the Duty of Responsibility.
- Explain the process for assessing fitness and propriety, conducting annual certification, and embedding conduct standards throughout the organisation.
- Demonstrate an understanding of personal accountability by relating Conduct Rules to day-to-day decision-making and ethical scenarios.

Who Should Attend:

- Individuals holding FCA/PRA-approved Senior Management Functions (SMFs).
- Those responsible for key business areas, risk functions, compliance, audit, or oversight roles.
- Individuals newly approved as SMFs or newly certified.
- Also useful for high-potential talent pipelines preparing for future senior roles.
- Individuals subject to the Certification Regime, whose roles could cause significant harm to the firm or its customers.
- Board members and iNEDs

Regulatory Applications & Authorisations

Pricing £250 per person [minimum and maximum numbers apply]

Company package pricing for unlimited attendees starting at £1500

Course Description: This course will talk through different types of regulatory applications, the process to prepare for, submit and manage regulatory applications and the regulatory approach to reviewing applications.

- This course is designed to help firms plan their approach to securing regulatory authorisation, either as a new application to additional permission which are often critical milestones for any firm wishing to operate in financial services. The process can be complex, time-consuming, and high-stakes, with regulators scrutinising governance, business models, risk management, and individual accountability.
- *Important Information:* This course will be delivered in an online format and is 2 hours long.

Why Attend: Learning Objectives:

- Understanding of the authorisation and approval process (FCA/PRA)
- Learn about the PRA and FCA Threshold Conditions.
- Learn what you need to include in a successful application (business plan, financials, systems & controls, governance and SMCR).
- Differentiate varying types of application (new authorisation, permission variation, control change, SMF approvals).
- Learn about areas of regulatory scrutiny and common mistakes.
- Learn how to manage the end-to-end application process, including stakeholder management, legal input and regulatory engagement.

Who Should Attend:

- Founders, Entrepreneurs & Senior Executives – planning to establish a regulated firm and seeking to understand the authorisation process.
- Risk, Compliance & Legal Professionals – responsible for drafting policies, ensuring governance standards, and liaising with regulators.
- Programme & Project Managers – coordinating application submissions and managing cross-functional input.
- Non-Executive Directors – supporting firms through the regulatory gateway or providing independent assurance.

Risk Management Frameworks and Appetite

Pricing £300 per person [minimum and maximum numbers apply]

Company package pricing for unlimited attendees starting at £1500

Course Description: This course will talk through the key components of effective risk management frameworks, setting out how to identify, measure, monitor and mitigate risks from the board level down to business line members.

- This course is designed to help firms understand UK regulatory expectations for robust risk management within a platform provider
- *Important Information:* This course will be delivered in an online format and is 3 hours long

Why Attend: Learning Objectives:

- Understand the regulatory landscape, in particular the PRA and FCA supervisory priorities.
- Review governance and accountability expectations for the Board for effective risk management under SMCR, including the role of the Risk Committee and its oversight role.
- Describe the key areas of a risk management framework including risk appetite, risk taxonomy and risk indicators.
- Understand the importance of stress and scenario testing for management and board oversight of capital,liquidity and operational resilience.
- Discuss the importance of risk culture and good conduct in meeting regulatory expectations.
- Review case studies to learn lessons from real life examples, including about risk oversight and governance

Who Should Attend:

- Individuals holding senior management oversight roles including NEDs, and members of firm Risk and Audit committees.
- Chief Risk Officers, Head of Risk and Compliance and Head of Internal Audit.
- Business leaders responsible for embedding effective risk management into strategy, operations and decision making.
- Individuals in second and third line functions who support the board and executive team to embed effective risk management frameworks.

Managing Outsourcing & Third Party Risk

Pricing £250 per person [minimum and maximum numbers apply]
Company package pricing for unlimited attendees starting at £1500

Course Description: This course helps attendees understand UK regulatory expectations (FCA, PRA and where relevant DORA), how to assess their outsourced and third-party risks, and how to demonstrate robust governance, monitoring, and contingency planning

- This course is designed to help firms learn how to map critical dependencies, assess supplier resilience, and maintain robust oversight through effective governance and monitoring.
- *Important Information:* This course will be delivered in an online format and is 2 hours long

Why Attend: Learning Objectives:

- Understand FCA and PRA expectations for outsourcing, third-party arrangements and material business services.
- Define outsourcing, material outsourcing and third party relationships
- Identify linkage to operational resilience rules.
- Conduct proportionate due diligence on third-party providers, including financial, operational, and information security risks.
- Set and monitor key risk indicators (KRIs) and service-level obligations.
- Map third-party dependencies end-to-end and identify concentration and fourth-party risks
- Create a practical third-party risk register and supplier monitoring plan.
- Understand the regulatory requirements for exit strategies, substitution plans and scenario testing.
- Know what "good" looks like in governance, oversight, contract clauses, and escalation processes.

Who Should Attend:

- Chief Risk Officers, Heads of Risk & Compliance
- COOs, CIOs, CTOs and Operations Leaders
- Supplier/outsourcing owners and vendor management teams
- Senior leaders involved in operational resilience planning
- Individuals responsible for oversight of critical or important outsourced functions
- Board members and SMF holders seeking a clearer understanding of outsourcing responsibilities

Operational Resilience

Pricing £275 per person [minimum and maximum numbers apply]

Company package pricing for unlimited attendees starting at £1500

Course Description: Operational resilience is an operational and strategic imperative. Firms need to show that they have the capability to prevent, adapt, respond, recover and learn from operational disruptions – guaranteeing continued critical service provision to customers, markets and the wider economy.

- This course is designed to help firms learn about regulatory requirements (eg FCA, PRA; DORA) and how these are practically applied, through case studies, scenarios and industry best practice; and understand how you can implement operational resilience into strategy, governance, risk management and everyday business operations.
- *Important Information:* This course will be delivered in an online format and is 2.5 hours long

Why Attend: Learning Objectives:

- Describe the concepts of operational resilience and its regulatory environment.
- Determine critical business services and consider consequences of disruption.
- Understand how to set and test impact tolerances.
- Understand how to map full end-to-end dependencies across people, processes, technology, third parties and data.
- Establish and monitor thresholds for their effects on critical services.
- Plan for a proportional response, recovery and communication.
- Embed operational resilience into governance, risk and business continuity programmes.
- Develop a culture of resilience, by testing, scenario planning and continuous improvement.

Who Should Attend:

- Senior Managers and Executives – Board members, SMF holders and ExCo leaders who require an understanding of regulatory accountability as well as strategic implications.
- Risk & Compliance Professionals – teams responsible for operational risk, enterprise risk, conduct risk and compliance who are embedding resilience frameworks.
- Operations & Technology Leaders: along with leaders of operations, IT, cyber security and business continuity responsible for delivering service resilience planning.
- Outsourced & Third Party Managers – responsible for essential suppliers and outsourced dependencies.

Consumer Duty

Pricing £250 per person [minimum and maximum numbers apply]

Company package pricing for unlimited attendees starting at £1500

Course Description: The Consumer Duty ('CD') - How it applies to firms and continues to evolve

- This course provides an in-depth understanding of The Consumer Duty, its implementation in 2023, how it has continued to develop focusing on its application to all UK financial services firms. Participants will explore how to have effectively implemented the CD, how it is essential for Boards, ExCos and Senior Management to continually take account of its various elements and to review that all aspects remain robustly managed with correct customer outcomes always at the core of the business. The course also demystifies the roles and responsibilities of Senior Manager Function ('SMF') role holders and their supporting Certified staff in meeting their regulatory obligations confidently.
- *Important Information:* This course will be delivered in an online format and is 2 hours long

Why Attend: Learning Objectives:

- Define the key principles of CD, how it evolved from the Treating Customer Fairly regime and how central it is to all FCA thinking.
- Describe the structure and key requirements of CD that when combined should deliver good outcomes for customers:
  - Governance of Products and Services
  - Fair Price and Value
  - Consumer Understanding & Support
- Identify and explain expectations of key roles and responsibilities of Boards, Excos, SMFs and Certified individuals.
- Explain how data and MI play critical roles in helping firms make CD work effectively and act as robust controls.
- Discuss developments since CD was first introduced and feedback from the FCA to date about good/bad practice they have evidenced.

Who Should Attend:

- Individuals holding FCA/PRA SMF roles
- Individuals holding Certified role positions within firms
- Stakeholders for key operational business areas, risk functions, compliance, audit, or oversight roles.
- Individuals newly approved as SMFs or appointed to Certified roles.
- Senior staff who are viewed as being high-potential talent preparing for future senior roles.
- Individuals wishing to broaden their knowledge of what the CD is about and how it can be applied most effectively.
- Staff of any level whose roles could cause significant harm to the firm or its customers if the CD is not applied correctly, particularly those with customer facing roles.
- Board members and iNEDs.

Effective Compliance

Pricing £250 per person [minimum and maximum numbers apply]

Company package pricing for unlimited attendees starting at £1500

Course Description: Compliance Effectiveness (including linkages to the first and third lines of defence)

- This course provides an in-depth understanding of how an industry leading Compliance Department should be structured and operate to provide comfort to Boards, Excos and Senior Management Function ('SMF') role holders that the business is operating within regulatory expectations. It applies to all UK financial services firms, but particularly those in the Retail sector. Participants will also explore how Compliance should best interact with the other two lines of defence; first line Quality Control teams and third line Internal Audit to ensure that the firm has a robust three lines of defence model.
- *Important Information:* This course will be delivered in an online format and is 2 hours long

Why Attend: Learning Objectives:

- Understand how to ensure the Compliance Department should best be structured for firms of different sizes including roles and responsibilities.
- How it should operate on a day to day to be a robust and effective second line of defence including aspects such as:
    - Governance and accountability
    - Line of sight into Boards and relevant key Committees
    - Policies and procedures within the compliance team
    - How to ensure there is a skilled compliance advisory team
    - What makes a robust compliance monitoring team and plan
    - Regulatory liaison and action tracking
    - Effective horizon scanning of changing/new regulation
    - The use of data and MI in ensuring the compliance function is identifying and reporting issues effectively
- How the Compliance function should link to the first line quality teams in the business and also the third line Internal Audit team

Who Should Attend:

- Heads and senior staff within firms' compliance teams
- Individuals holding FCA/PRA SMF roles
- Individuals holding Certified role positions within firms
- Senior staff from the first (quality control) and third (Internal Audit) lines of defence..
- Individuals newly approved as SMFs or appointed to Certified roles.
- Staff across the business who are viewed as being high-potential talent preparing for future senior roles.
- Individuals wishing to broaden their knowledge of what Compliance is about and how and effective second line is critical to any business.
- Staff of any level whose roles could cause significant harm to the firm or its customers particularly those with customer facing roles.
- Board members and iNEDs.

Financial Crime Prevention & AML

Pricing £250 per person [minimum and maximum numbers apply]

Company package pricing for unlimited attendees starting at £1500

Course Description: Financial Crime Prevention & AML

- This course is designed as an introduction to Financial Crime Risk and its oversight by Executives or Board members within Financial Services. With Financial Crime risk the responsibility of all staff this course can help navigate first line and second line responsibilities including Risk and Control ownership and oversight.
- *Important Information:* This course will be delivered in an online format and is 2 hours long

Why Attend: Learning Objectives:

- Understand Financial Crime Risk including Money Laundering, Sanctions, Tax Evasion, and Bribery and Corruption
- Understand roles and responsibilities and potential structures for First and Second Line Teams
- Risk Appetite setting and governance
- Illustrate examples of Financial Crime Risk and mitigation
- Clarify Risk and Control ownership and operation
- Suspicious activity investigation and reporting
- Navigate the control environment and the differences between monitoring and screening

Who Should Attend:

- Board members wanting to increase knowledge and awareness of BAU Financial Crime Risk Management
- Executives across First Line
- Senior Manages new to Financial Crime or with secondary responsibilities pertaining to Financial Crime Risk

Digital Assets

Pricing £250 per person [minimum and maximum numbers apply]

Company package pricing for unlimited attendees starting at £1500

Course Description: xxx

- This course is designed to help firms …..
- *Important Information:* This course will be delivered in an online format and is 2 hours long

Why Attend: Learning Objectives:

- xx

Who Should Attend:

- xx

REDQUEEN
ADVISORY LIMITED

Flexible Training and Workshops for Investment Firms

IFPR Fundamentals & Regulatory Reporting Excellence

Pricing £250 per person [minimum and maximum numbers apply]
Company package pricing for unlimited attendees starting at £1500

Course Description: Investment Firm Prudential Regime (IFPR) Fundamentals & Regulatory Reporting Excellence

- This course provides an overview of the FCA's MIFIDPRU rulebook, the scope of application and detailed requirements for different firms focusing on the core regulatory requirements and associated regulatory reporting obligations, including own funds calculations, individual K-factor assessments, Basic Liquid Asset Requirements (BLAR) and Fixed Overheads Requirements.
- *Important Information:* This course will be delivered in an online format and is 2 hours long

Why Attend: Learning Objectives:

- Identify key IFPR requirements applicable to different firm categories and understand the scope of application for different components
- Calculate own funds, individual K-factors (K-AUM, K-CMH, K-ASA, K-COH, K-DTF, K-NPR, K-CMG, K-TCD) and Fixed Overheads Requirement (FOR) using FCA methodologies with accuracy
- Calculate Basic Liquid Asset Requirements (BLAR) and understand liquidity management obligations under IFPR
- Identify applicable regulatory returns, their reporting requirements and linkage to MIFIDPRU requirements
- Understand the importance of effective governance over regulatory reporting and best practice in achieving compliance
- Implement pre-submission validation procedures and quality control checklists to ensure accurate calculations and eliminate common reporting errors

Who Should Attend:

Organisational Scope & Key Stakeholders
- IFPR-regulated firms
- Firms improving regulatory reporting

Primary Roles:
- Risk: Senior/Chief Risk Officers (IFPR)
- Compliance: Directors (regulatory reporting)
- Finance/Treasury: Liquidity and Own Funds risk oversight
- Audit: ICARA process evaluation

Secondary Roles:
- Leadership: Execs, Board (strategic compliance)
- Ops: Data governance/reporting infrastructure
- Legal/Reg Affairs: FCA engagement
- Tech/Data: Controls & validation systems

Internal Capital Adequacy & Risk Assessment (ICARA)

Pricing £250 per person [min and max numbers apply]
Company package pricing for unlimited attendees
starting at £1500

Course Description: ICARA Process Optimisation

- This course focuses on developing robust Internal Capital Adequacy and Risk Assessment (ICARA) processes that assess whether firms have adequate financial resources for both going concern and wind-down scenarios. Participants will learn to design firm-specific stress scenarios, establish appropriate governance frameworks and conduct forward-looking assessments that integrate with business planning. The module addresses common ICARA deficiencies identified in the FCA thematic review including inadequate stress testing and weak governance oversight.
- *Important Information:* This course will be delivered in an online format and is 2 hours long

Why Attend: Learning Objectives:

- Design stress scenarios relevant to their firm's specific risk profile and business model, incorporating firm-specific liquidity risks, operational dependencies, and market exposures with documented justification for underlying assumptions
- Establish appropriate governance and oversight mechanisms for the ICARA process including board-level review, independent validation and management information systems that ensure ongoing compliance with FCA expectations
- Validate ICARA calculations and stress testing methodologies using regulatory requirements and industry best practice, ensuring accuracy and completeness of risk assessments

Who Should Attend:

Organisational Scope & Key Stakeholders

- IFPR-regulated firms
- Entities with/at risk of Individual Liquidity Guidance

Primary Roles:

- Risk: Senior/Chief Risk Officers (IFPR)
- Compliance: Directors (regulatory reporting)
- Finance/Treasury: Liquidity risk oversight
- Audit: ICARA process evaluation

Secondary Roles:

- Leadership: Execs, Board (strategic compliance)
- Ops: Data governance/reporting infrastructure
- Legal/Reg Affairs: FCA engagement
- Tech/Data: Controls & validation systems

Liquidity Risk Management

Pricing £250 per person [minimum and maximum numbers apply]

Company package pricing for unlimited attendees starting at £1500

Course Description: Liquidity Risk Management for Investment Firms

- This module addresses the core liquidity risk management challenges identified in the FCA's wholesale trading firms review that are applicable to all investment firms (including retail business models). Participants will learn to identify firm-specific liquidity risks, calculate Liquid Asset Threshold Requirement (LATR) and design dynamic stress testing frameworks. The module focuses on developing daily monitoring processes that capture intra-day and inter-day (T0/T1) outflows and implementing the good practices observed by the FCA while avoiding common pitfalls that lead to Individual Liquidity Guidance interventions.
- *Important Information:* This course will be delivered in an online format and is 2 hours long

Why Attend: Learning Objectives:

- Articulate the specific liquidity risks their firm is exposed to including idiosyncratic risks, margin call timings and operational dependencies, and calculate Liquid Asset Threshold Requirement (LATR) using FCA methodologies with documented justification for underlying assumptions
- Design dynamic stress testing frameworks that capture T0/T1 outflows appropriate to their firm's business model and risk profile, incorporating behavioural analysis of clients, counterparties and liquidity providers based on recent market events
- Implement daily liquidity monitoring processes that forecast next-day BAU and stressed requirements, cross-reference current positions with historical stress scenarios and trigger appropriate escalation procedures in line with FCA good practice standards
- Design executable contingency funding plans with realistic funding sources, clear triggers and tested access mechanisms that can be implemented during liquidity stress events

Who Should Attend:

Organisational Scope & Key Stakeholders

- IFPR-regulated firms
- Entities with/at risk of Individual Liquidity Guidance

Primary Roles:

- Risk: Senior/Chief Risk Officers (IFPR)
- Compliance: Directors (regulatory reporting)
- Finance/Treasury: Liquidity risk oversight
- Audit: ICARA process evaluation

Secondary Roles:

- Leadership: Execs, Board (strategic compliance)
- Ops: Data governance/reporting infrastructure
- Legal/Reg Affairs: FCA engagement
- Tech/Data: Controls & validation systems

MiFID II Best Execution & Transaction Reporting

Pricing £250 per person [minimum and maximum numbers apply]

Company package pricing for unlimited attendees starting at £1500

Course Description: MiFID II Best Execution & Transaction Reporting (incl. Product Governance & Target Market, Suitability & Appropriateness Assessments)

- This course provides comprehensive coverage of MiFID II best execution requirements and transaction reporting obligations for investment firms. Participants will learn to design and implement best execution policies, monitor execution quality and ensure accurate transaction reporting to regulatory authorities. The course also covers product governance frameworks and suitability assessment requirements.
- *Important Information:* This course will be delivered in an online format and is 2 hours long

Why Attend: Learning Objectives:

- Understand MiFID II best execution requirements and design comprehensive best execution policies appropriate to a firm's business model and client base
- Implement execution quality monitoring frameworks including RTS 28 reporting and client-specific execution quality analysis
- Ensure accurate and timely transaction reporting under MiFIR including ARM reporting, data quality controls and exception management processes
- Design product governance frameworks including target market assessments and distribution strategies
- Implement suitability and appropriateness assessment procedures for investment advice and execution-only services

Who Should Attend:

Primary Roles:

- Trading: Heads of Trading, Execution Traders
- Compliance: MiFID Compliance Officers, Transaction Reporting specialists
- Operations: Settlement and reporting teams
- Technology: Trade reporting systems specialists

Secondary Roles:

- Risk: Market risk and operational risk teams
- Legal: Regulatory affairs specialists
- Front Office: Investment advisers and portfolio managers
- Senior Management: SMFs with trading oversight responsibilities

REDQUEEN ADVISORY LIMITED

Client Asset Protection (CASS)

Pricing £250 per person [minimum and maximum numbers apply]

Company package pricing for unlimited attendees starting at £1500

Course Description: Client Asset Protection (CASS Rules)

➞ This course covers the FCA's Client Assets (CASS) rules for investment firms holding client money and custody assets. Participants will learn to implement robust client asset protection frameworks, conduct CASS reviews and ensure compliance with segregation and reconciliation requirements.

➞ *Important Information:* This course will be delivered in an online format and is 2 hours long

Why Attend: Learning Objectives:

➞ Understand CASS 6 (custody assets) and CASS 7 (client money) requirements and implement appropriate segregation arrangements

➞ Design daily reconciliation processes for client money and assets including break investigation and resolution procedures

➞ Establish governance frameworks for CASS compliance including regular reviews, board oversight and regulatory reporting requirements

Who Should Attend:

Primary Roles:

➞ Operations: CASS Officers, Settlement teams, Finance teams

➞ Compliance: CASS compliance specialists, Compliance Officers

➞ Risk: Operational risk teams, Internal audit

➞ Finance: Financial controllers, Treasury teams

Secondary Roles:

➞ Technology: Systems specialists for client asset systems

➞ Legal: Regulatory specialists

➞ Senior Management: SMFs with client asset oversight

➞ Front Office: Relationship managers handling client assets

Market Abuse Regulation (MAR) Planning

Pricing £250 per person [minimum and maximum numbers apply]
Company package pricing for unlimited attendees starting at £1500

Course Description: Market Abuse Regulation (MAR) Compliance

- ➞ This course covers Market Abuse Regulation requirements for investment firms including market surveillance, suspicious transaction reporting and insider dealing prevention. Participants will learn to implement effective market abuse detection and prevention frameworks.
- ➞ *Important Information:* This course will be delivered in an online format and is 2 hours long

Why Attend: Learning Objectives:

- ➞ Understand MAR requirements including insider dealing, market manipulation and unlawful disclosure of inside information prohibitions
- ➞ Implement market surveillance systems and procedures including suspicious transaction and order reporting (STORs and SUORs)
- ➞ Design insider lists, dealing restrictions and market soundings frameworks appropriate to firm's business model
- ➞ Establish effective governance and oversight mechanisms for market abuse prevention and detection

Who Should Attend:

Primary Roles:

- ➞ Compliance: Market abuse compliance officers, Surveillance specialists
- ➞ Trading: Heads of trading, Compliance traders
- ➞ Risk: Market conduct risk specialists
- ➞ Operations: Trade surveillance teams

Secondary Roles:

- ➞ Technology: Surveillance systems specialists
- ➞ Legal: Regulatory specialists
- ➞ Senior Management: SMFs with trading oversight
- ➞ Finance: Research and analysis teams

AIFMD / AIFMD 2.0

Pricing £250 per person [minimum and maximum numbers apply]

Company package pricing for unlimited attendees starting at £1500

Course Description: Alternative Investment Fund Managers Directive (AIFMD / AIFMD 2.0)

- This course covers the Alternative Investment Fund Managers Directive requirements, including the recent AIFMD 2.0 updates. Participants will learn to implement AIFMD compliance frameworks for alternative investment fund management, including authorization, ongoing obligations, and enhanced regulatory requirements.
- *Important Information:* This course will be delivered in an online format and is 2 hours long

Why Attend: Learning Objectives:

- Understand AIFMD scope, authorization requirements and ongoing obligations for alternative investment fund managers
- Implement risk management and liquidity management frameworks for alternative investment funds
- Navigate AIFMD 2.0 enhancements including sustainability disclosures, loan origination restrictions and delegation rules
- Establish appropriate governance, reporting and disclosure arrangements for AIFM-regulated entities

Who Should Attend:

Primary Roles:

- Senior Management: AIFM authorized managers and directors
- Compliance: AIFMD compliance specialists and regulatory reporting teams
- Risk: Alternative investment risk managers and fund risk officers
- Operations: Fund administration and valuations

Secondary Roles:

- Legal: Investment fund lawyers and regulatory specialists
- Finance: Fund accounting and treasury teams
- Business Development: Product development specialists and distribution teams
- Internal Audit: AIFMD compliance audit specialists

Sustainable Finance Disclosure Regulation (SFDR)

Pricing £250 per person [minimum and maximum numbers apply]
Company package pricing for unlimited attendees starting at £1500

Course Description: Sustainable Finance Disclosure Regulation (SFDR)

- This course covers the EU Sustainable Finance Disclosure Regulation requirements for investment firms, including sustainability risk disclosures, product-level disclosures, and ESG integration. Participants will learn to implement SFDR compliance frameworks and meet ongoing disclosure obligations.
- *Important Information:* This course will be delivered in an online format and is 2 hours long

Why Attend: Learning Objectives:

- Understand SFDR scope and disclosure requirements for investment firms and funds
- Implement sustainability risk integration frameworks and principal adverse impact reporting
- Design product-level disclosure processes for Article 8 and Article 9 financial products
- Establish governance arrangements for sustainable finance compliance and ongoing regulatory reporting

Who Should Attend:

Primary Roles:

- Compliance: ESG compliance specialists, Regulatory reporting teams
- Product: Sustainable investment product managers
- Risk: ESG risk officers and sustainability risk specialists
- Research: ESG research analysts and investment analysts

Secondary Roles:

- Marketing: Product marketing and communications teams
- Legal: Sustainable finance legal specialists
- Senior Management: SMFs with ESG oversight
- Operations: Data management and reporting teams

Wind Down Planning & Execution for Investment Firms

Pricing £250 per person [min & max numbers apply]
package pricing for unlimited attendees starting at £1500

Course Description: Wind down planning for Investment Firms

- This module focuses on developing executable wind-down strategies that demonstrate how firms can cease regulated activities in an orderly manner during stressed and non stressed conditions. Participants will learn to identify realistic wind-down triggers, design actionable execution plans with appropriate timelines, and establish governance frameworks that function effectively during stressed environments. The module addresses the operational deficiencies identified in the FCA thematic review where firms had theoretical plans that could not be implemented in practice.
- *Important Information:* This course will be delivered in an online format and is 2 hours long

Why Attend: Learning Objectives:

- Identify likely situations that would trigger wind-down and design specific action plans for ceasing regulated activities, including client migration, asset disposal and regulatory notifications with justified timelines based on operational realities
- Assess the different operational risk profile firms face during wind-down versus business-as-usual conditions, including client behaviour changes, liquidity constraints and operational challenges that affect execution capability
- Establish governance and oversight processes for wind-down execution including board decision-making protocols, management reporting during stress, regulatory communication strategies and contingency procedures for operational challenges

Who Should Attend:

Organisational Scope & Key Stakeholders

- IFPR-regulated firms

Primary Roles:

- Risk: Senior/Chief Risk Officers (IFPR)
- Compliance: Directors (regulatory reporting)
- Finance/Treasury: Liquidity risk oversight
- Audit: ICARA process evaluation

Secondary Roles:

- Leadership: Execs, Board (strategic compliance)
- Ops: Data governance/reporting infrastructure
- Legal/Reg Affairs: FCA engagement
- Tech/Data: Controls & validation systems

Operational Resilience, DORA, Outsourcing & Third Party Risk

Course Description: Operational Resilience, Digital Operational Resilience Act (DORA) & Outsourcing & Third Party Risk Management

- This course is designed to help firms understand the UK regulatory expectations and practical steps to manage operational resilience third party risks. It will cover the FCAs operational resilience rules, DORA regulation, the critical importance of platform dependencies for IFAs and Investment Managers, common risks, scenario planning and governance.
- *Important Information:* This course will be delivered in an online format and is half day - 3 hours long

Why Attend: Learning Objectives:

- Understand DORA and the FCA outsourcing requirements as they apply to platforms.
- Identify and assess risks in platform provider relationships.
- Understand how to map end to end processes for advice, trading, settlement and custody
- Setting impact tolerances
- Design a third-party risk register, monitoring process and escalation paths.
- Understand the regulatory requirements for substitutes and exit plans, including what an exit plan could look like.
- Participate in a scenario based exercise and use results to consider how you could refine your own risk controls and contingency plans.
- Review future regulatory changes.

Who Should Attend:

- Senior managers/CROs/CTOs/COOs
- Compliance & Risk managers
- Operational Managers and platform liaison teams

Pricing £300 per person [minimum and maximum numbers apply]

Company package pricing for unlimited attendees starting at £1500

REDQUEEN
ADVISORY LIMITED

Flexible Training and Workshops for Banks

ICAAP

Pricing £300 per person [minimum and maximum numbers apply]

Company package pricing for unlimited attendees starting at £1500

Course Description: Internal Capital Adequacy Assessment Process (ICAAP)

- This course provides an overview of the regulatory capital regime for banks and building societies with a particular focus on the standardised approach. Content is applicable to all small to mid tier firms including those following the Small Domestic Deposit Takers (SDDT) regime and subsidiaries of overseas banks. Whether drafting content for the ICAAP or involved in an oversight role, this course will provide the background skills necessary to fulfil the task, providing consideration to industry norms and proportionality for deposit takers of differing size and complexity.
- *Important Information:* This course will be delivered in an online format and is 3 hours long

Why Attend: Learning Objectives:

- Understand the three Pillars of the capital regime and how they apply to UK banks and building societies and overseas subsidiaries.
- Identify different tiers of capital and applicable deductions
- Describe and work through examples of how to calculate the Pillar 1 requirements for under existing rules and Basel 3.1
- Identify the relevant approach to undertaking the Pillar 2A assessment with specific regards to: credit risk stress testing; concentration risk assessment methodologies - HHII and the retail / wholesale multipliers for SDDTs; interest rate risk in the banking book (IRRBB); operational risk scenario analysis and the net assets approach for SDDTs; and Climate Scenario Analysis
- Understand regulatory expectations best practices for developing Pillar 2B stress tests, assumptions and quantification of management actions
- Calculate the total capital requirement and complete buffer requirements including the combined and PRA buffer components

Who Should Attend:

- Heads of Risk, Finance, Compliance, or Treasury
- Individuals holding SMCR roles with oversight of ICAAP
- Individuals responsible for regulatory submissions, risk planning, or SREP responses
- Staff involved in ICAAP, Recovery Planning, or regulatory authorisation processes
- Individuals newly appointed to senior roles who need to understand solvent exit requirements
- High-potential staff preparing for future senior or Board-level roles
- Board members and iNEDs seeking clarity on the regulatory expectations for orderly solvent exits

ILAAP

Pricing £250 per person [minimum and maximum numbers apply]

Company package pricing for unlimited attendees starting at £1500

Course Description: Internal Liquidity Adequacy Assessment Process

- This course provides an overview of the regulatory liquidity regime for banks and building societies. Content is applicable to all small to mid tier firms including those following the Small Domestic Deposit Takers (SDDT) regime and subsidiaries of overseas banks. Whether drafting content for the ILAAP or involved in an oversight role, this course will provide the background skills necessary to fulfil the task, providing consideration to industry norms and proportionality for deposit takers of differing size and complexity.
- *Important Information:* This course will be delivered in an online format and is 2 hours long

Why Attend: Learning Objectives:

- Understand the purpose of the Internal Liquidity Adequacy Assessment Process (ILAAP) and its role in demonstrating a firm's ability to meet its liabilities as they fall due.
- Understand the three Pillars of the liquidity regime and how they apply to UK banks, building societies, SDDTs and overseas subsidiaries.
- Understand Pillar 1 reporting requirements (i.e. Liquidity coverage Ratio (LCR), Net Stable Funding Ratio (NSFR) and Retail Deposit Ratio (RDR)).
- Understand regulatory Pillar 2 requirements on: (i) risk appetite setting (liquidity and funding); (ii) identification and monitoring of key liquidity risks; and (iii) governance.
- Understand regulatory expectations and best practices for developing Pillar 2 stress tests, assumptions and quantification of management actions.

Who Should Attend:

- Heads of Risk, Finance, Compliance, or Treasury.
- Individuals holding SMCR roles with oversight of ILAAP.
- Individuals responsible for regulatory submissions, risk planning, or SREP responses.
- Staff involved in ILAAP, Recovery Planning, or regulatory authorisation processes.
- Individuals newly appointed to senior roles who need to understand liquidity risk management requirements.
- High-potential staff preparing for future senior or Board-level roles.
- Board members and iNEDs seeking clarity on the regulatory expectations for liquidity risk management.

Regulatory Reporting

Pricing £250 per person [minimum and maximum numbers apply]

Company package pricing for unlimited attendees starting at £1500

Course Description: Regulatory Reporting for UK Retail Banks and Building Societies

- This course provides practical guidance on regulatory reporting for UK retail banks and building societies. Gain insights on interpretation challenges, common errors, and process optimisation for prudential, statistical and other FCA submissions.
- *Important Information:* This course will be delivered in an online format and is 2 hours long

Why Attend: Learning Objective:

- Interpret ambiguous regulatory guidance with practical judgement
- Identify common errors that trigger PRA/FCA queries
- Design efficient processes with robust controls
- Navigate upcoming regulatory changes
- Gain insights from case studies on Own Funds reporting

Who Should Attend:

- Regulatory Reporting Managers and Regulatory Reporting Analysts/Accountants
- Heads of Finance, Risk, or Compliance
- SMCR holders with reporting oversight
- Staff new to prudential, statistical or FCA returns
- Internal Audit and Risk Assurance professionals
- Board members and NEDs

Recovery Planning

Pricing £250 per person [minimum and maximum numbers apply]

Company package pricing for unlimited attendees starting at £1500

Course Description: Recovery Planning

- This course is designed to help firms produce a credible and proportionate Recovery Plan (RP) that meets PRA expectations without unnecessary complexity. It explains what a RP should include, how to approach it in practice, and how to align the content with regulatory expectations.
- *Important Information:* This course will be delivered in an online format and is 2 hours long

Why Attend: Learning Objectives:

- Understand the purpose of a Recovery Plan (RP) and its role in demonstrating a firm's ability to restore its financial resilience during, or following a severe stress that brings it close to failure.
- Understand how a RP interacts with other regulatory requirements including ICAAP, ILAAP, Solvent Exit Plan and resolution planning.
- Identify the key components of a proportionate RP, including expected content and level of detail.
- Develop and Calibrate RP indicators aligned to the firm's business model and risk profile.
- Understand regulatory expectations for developing recovery scenarios, assumptions and quantification of recovery options / capacity.
- Understand governance arrangements required to support a RP.
- Understand regulatory requirements around testing the plan (including playbooks and fire drill exercises).

Who Should Attend:

- Heads of Risk, Finance, Compliance, or Treasury
- Individuals holding FCA/PRA SMF roles
- Individuals responsible for regulatory submissions, risk planning, or SREP responses
- Staff involved in ICAAP, ILAAP, Recovery Planning, or regulatory authorisation processes
- Individuals newly appointed to senior roles who need to understand solvent exit requirements
- High-potential staff preparing for future senior or Board-level roles
- Board members and iNEDs seeking clarity on the regulatory expectations for recovery planning

REDQUEEN
ADVISORY LIMITED

Solvent Exit and Wind-down Planning

Pricing £200 per person [minimum and maximum numbers apply]
Company package pricing for unlimited attendees starting at £1500

Course Description: Solvent Exit Analysis and Execution Planning - Meeting PRA expectations

- This course is designed to help firms produce a credible and proportionate Solvent Exit Analysis (SEA) that meets PRA expectations without unnecessary complexity. It explains what a SEA should include, how to approach it in practice, and how to align the content with regulatory expectations. The course also briefly covers Solvent Exit Execution Plans (SEEPs) to clarify when they are required and how they differ, helping firms avoid including unnecessary operational detail in a SEA.
- *Important Information:* This course will be delivered in an online format and is 1.5 hours long

Why Attend: Learning Objectives:

- Understand the purpose of a Solvent Exit Analysis (SEA) and its role in demonstrating a firm's ability to exit the market in a solvent and orderly way
- Identify the key components of a proportionate SEA, including expected content and level of detail
- Develop and calibrate Solvent Exit Indicators aligned to the firm's business model and risk profile
- Recognise key risks and barriers to executing a solvent exit
- Identify cost categories that should be considered when preparing
- Governance arrangements required to support a solvent exit
- Explain what a Solvent Exit Execution Plan (SEEP) is, when it is required, and how it differs from a SEA
- Apply practical steps to draft a credible SEA that meets regulatory expectations without unnecessary complexity.

Who Should Attend:

- Heads of Risk, Finance, Compliance, or Treasury
- Individuals holding FCA/PRA SMF roles
- Individuals responsible for regulatory submissions, risk planning, or SREP responses
- Staff involved in ICAAP, Recovery Planning, or regulatory authorisation processes
- Individuals newly appointed to senior roles who need to understand solvent exit requirements
- High-potential staff preparing for future senior or Board-level roles
- Board members and iNEDs seeking clarity on the regulatory expectations for orderly solvent exits

Climate Risk

Pricing £250 per person [minimum and maximum numbers apply]

Company package pricing for unlimited attendees starting at £1500

Course Description: Climate Risk Management – Meeting Regulatory Expectations

- This course is designed to help deposit takers meet the climate risk management expectations of banks, building societies and overseas banking entities in the UK. It covers regulatory requirements
- *Important Information:* This course will be delivered in an online format and is 2 hours long

Why Attend: Learning Objectives:

- Understand the risks associated with climate change to business model viability and sustainability
- Identify the key regulations and guidance to consider within the firm's' climate risk management approach
- Understand the expectations of boards and senior management in development and oversight of the climate risk management framework
- Understand how to undertake a climate risk assessment
- Develop and calibrate climate risk appetites that are aligned to the firm's business model and risk profile
- Identify linkages between the climate risk assessment, forward strategy and risk appetites
- Understand how climate scenario analysis is used in business planning, risk management and the ICAAP
- Identify suitable MI for ongoing oversight of climate risks

Who Should Attend:

- Risk, Finance and Environmental & Sustainability colleagues with a role in identifying and managing climate change
- Individuals holding FCA/PRA SMF roles
- Individuals responsible for ICAAP, ILAAP or stress testing
- Staff involved in management of Environment & Sustainability
- Individuals newly appointed to senior roles who need to understand climate risk management requirements
- High-potential staff preparing for future senior or Board-level roles
- Board members and iNEDs seeking clarity on the regulatory expectations for climate risk management

Regulatory Affairs: Visits, Thematics & Deep Dives

Pricing £250 per person [minimum and maximum numbers apply]
Company package pricing for unlimited attendees starting at £1500

Course Description: How to manage the regulatory relationship from preparing for a regulatory visit or deep dive to ongoing relationship management

- This course is designed to help firms manage the regulatory relationship on an ongoing basis. We will cover preparing for a regulatory visit, thematic review or deep dive. By providing you with an understanding of the thought processes and drivers of regulators, hints and tips for approaching regulatory interactions, and the tools and levers available to them, you will be better prepared to reach good regulatory outcomes.
- *Important Information:* This course will be delivered in an online format and is 2 hours long

Why Attend: Learning Objectives:

- Understand why and when the Prudential Regulatory Authority (PRA), Financial Conduct Authority (FCA) undertake regulatory visits
- Describe the objectives and approach taken by the FCA and PRA in conducting visits / regulatory reviews
- Describe implications for regulatory affairs management, common practises and potential pitfalls
- Familiarity with typical regulatory meeting agendas, questions and skills for success in these interactions
- Understand the specific requirements of PRA visits such as the C-SREP, L-SREP or asset quality review
- Understand the expectations of FCA thematics on topics such as appointed representatives, consumer duty or vulnerable customers
- Identify strategies for managing regulatory relationships throughout the year and within set touch points

Who Should Attend:

- Individuals likely to interact with UK regulators
- Those responsible for documentation, operations and oversight of regulated activities.
- Individuals newly approved as SMFs or newly certified.
- Also useful for high-potential talent pipelines preparing for future senior roles.
- Individuals and firms applying for regulatory approvals
- Board members and iNEDs

Biographies

Stephanie Henderson-Begg has a postgraduate certificate in learning and teaching and has published pedagogical research from her time as a senior lecturer and leader for learning and teaching in a university. She has extensive risk and regulatory experience in supporting financial services firms with these topics from her time at PwC and the PRA/FSA. She has worked with numerous lenders, payments firms, investment firms and small to mid-tier banks from new start-ups and challengers to overseas subsidiaries and branches as a senior management/board advisor, coach and interim Chief Risk Officer. Steph's regulatory knowledge includes financial risk, risk management and control frameworks, governance, SM&CR, board effectiveness reviews, regulatory interview preparation executive coaching and training

Email: steph@redqueenadvisory.co.uk

Heather Butler has worked in financial services for over 20 years, she has held executive positions including CSO at Pay.uk the UK's International payments system operator, and COO for the Prudential Regulation Authority. Her professional experience includes delivering transformation policy and change in the UK and Europe, running and scaling operations, corporate governance and risk management, notably operational risk. Much of this was gained in her role as head of authorisations where she reviewed and opined on firm's management, governance risk management. She now provides advisory services to start-ups and SMEs in the financial sector.

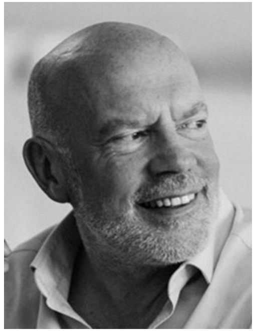
Email: Heather@redqueenadvisory.co.uk

Biographies

Marianna Sophocleous is an ACA Qualified Accountant (ICAEW) with extensive experience in financial services. She specialises in Liquidity Risk Management and has held liquidity SME roles at Big Four consulting firms, a Tier 1 UK bank and a major bank in Cyprus. As part of her experience, Marianna has provided liquidity support to numerous small to mid-tier banks and new bank start-ups, including assistance with liquidity risk management framework / ILAAP enhancements and Pillar 1 prudential interpretation. She also provided training workshops around the ILAAP document / process, mock interviews for liquidity SREP assessments and supported clients with s166 remediation work.
Email: Marianna@redqueenadvisory.co.uk

Zaynah Mosafeer is a regulatory specialist with over 15 years experience across banking and investment sectors. Her career spans big four consulting, leadership in regulatory reporting at a digital bank, an extensive work with FCA regulated investment firms on IFPR, MIFIDPRU and ICARA implementations. In regulatory frameworks, she guides institutions through authorisation processes and optimises regulatory strategies. She has a proven track record of delivering practical, impactful solutions for financial institutions of all sizes, from innovative startups to establish global firms.
Email Zaynah@redqueenadvisory.co.uk

Biographies



Steve Murphy is a Governance, Risk and Regulatory Specialist with extensive experience advising a wide range of financial services clients at Board and Executive level. His career has encompassed senior roles at Big Four professional services, Silver Circle legal and Blue-Chip financial services firms, working closely with all types and sizes of FS businesses. He has also held the SMF4 Chief Risk Officer position at a large outsourcer. Steve specialises in FCA conduct and selling practice requirements, supporting firms in growing and adapting their business commercially whilst balancing the need for robust governance and risk management to ensure adherence to regulatory requirements. Most recently, Steve has supported Consumer Duty implementation, Motor Finance and Borrowers in Financial Difficulty reviews.

Email: Steve@redqueenadvisory.co.uk

James Dorner is an experienced ex HSBC Global compliance specialist with extensive experience as Head of Financial Crime Advisory at HSBC in various jurisdictions worldwide across Retail, Wealth, Private Banking and Commercial banking. With experience across all lines of business, risk and Operations Office James provides a unique skill set of International and cross business risk and control management. Working In the UK, Europe, The Middle East and Asia James has not only led regulatory Skilled Person reviews for both first and second lines of defence but additionally has been FCR approver new digital product development and roll out including Mobile and digital wallet offerings, chaired FCR governance fora, and rolled out the non-financial risk management framework for FCR. ~

Email: James@redqueenadvisory.co.uk

REDQUEEN
ADVISORY LIMITED

Biographies

Tirza is a dynamic and hands-on regulatory leader with over 14 years' experience advising on complex compliance matters across UK financial services. Combines deep technical expertise in authorisations, conduct risk, SYSC, SM&CR, governance, and Consumer Duty with a strong track record of leading cross-functional initiatives that turn regulatory requirements into practical, sustainable outcomes. Known for building trusted relationships with regulators and clients, and for delivering clear, credible advice in high-pressure or fast-changing environments. Currently a Senior Manager at PwC, leading regulatory change programmes and advising on FCA/PRA engagement across retail banking, consumer credit, and home finance. Valued for a people-first leadership style, calm decision-making, and inclusive team development through coaching and mentoring.

Email: tirza@redqueenadvisory.co.uk

Oliver Rosenberg has a 25-year track record across banking and consulting, working with both global institutions and UK-focused firms. He has advised Boards and Chief Risk Officers on a wide range of risk and capital management matters—from credit and Basel capital implementations to model risk management frameworks. Oliver has successfully led major regulatory initiatives, including internal model approvals, ICAAP reviews, and responses to evolving regulatory requirements. He served as Chief Credit Officer at a UK bank and, more recently, has advised several institutions on topics ranging from new bank authorisation applications to the enhancement of model risk management frameworks. He supports firms in navigating complex regulatory expectations while embedding proportionate, effective frameworks that enable sustainable commercial growth.

Email:Oliver.rosenberg@redqueenadvisory.co.uk