



AFB TRAINING: CONDUCT & CULTURE FOR SENIOR MANAGERS AND INEDS

TUESDAY 4 NOVEMBER 2025

AN AFB TRAINING COURSE DESIGNED FOR SENIOR MANAGERS AND INEDS

The UK regulatory regime is increasingly focused on the need for firms' Boards and senior management to ensure that good outcomes for consumers are central to their firm's culture, strategy, and business objectives. The Consumer Duty sets high expectations for the standard of care that firms must provide to consumers. With this in mind, leaders of firms must ask how aware firms are of the unintentional misconduct that could be caused by organisational culture?

This one-day workshop will explore specific conduct risk concerns for Senior Managers and INEDs representing UK subsidiaries and branches of foreign banks; and build an understanding of how to address regulatory challenge and provide effective insight to the Board. This course, delivered by **CCL Academy**, will operate under the Chatham House Rule.

COURSE OVERVIEW

This one-day workshop is designed to build an understanding of conduct risk and how it relates to culture, deep dive into the approach and metrics that can be used to measure conduct risk and introduce methods and tools to influence and change behaviour.

Topics covered include:

- The concept of a positive workplace culture
- Non-financial misconduct (NFM) and its impact on a firm's culture
 - The link to Diversity and Inclusion (D&I)
- How to meet the cultural expectations of UK regulators without supplanting the parent company's culture
- How to integrate D&I and NFM into the bank's corporate governance and culture
- The role of Senior Managers and INEDs in the promotion of a positive culture
- How to provide constructive challenge to your senior colleagues and your Parent Bank
- The role of whistleblowing in a positive workplace culture for Senior Managers and INEDs
- How to embed a positive culture
- Case studies tailored to INEDs and Senior Managers

LEARNING OUTCOMES

By the end of this programme, delegates will be able to:

- Explain the meaning of a positive culture in banking
- Describe its importance to banks, regulators and customers
- Explain UK requirements to colleagues in other jurisdictions
- Conduct a review of the culture of their banks
- Understand how to promote any necessary cultural change in their own banks
- Build awareness of conduct risk (intentional & unintentional) and how it relates to culture
- Explore the Conduct Risk framework, and best practice approach to conduct risk measurement and metrics (as well as common pitfalls)
- Apply tools and methods to your bank's unique organisational conduct challenges

AFB TRAINING PARTNER – CCL ACADEMY



CCL Academy is a specialist compliance training provider, offering the full spectrum of learning options, from eLearning and OnDemand training to live instructor led training and CPD Programmes. Our

holistic, tailored approach allows us to meet the unique needs of Financial Services firms across the UK and MEA regions.

Our trainers are accomplished subject matter experts who bring a wealth of real-world industry and practitioner experience, combined with strong credentials in adult learning. They are not only knowledgeable, but also passionate educators who are deeply committed to delivering impactful training. Their engaging, practical approach ensures participants gain valuable insights and skills that can be immediately applied in their day-to-day roles.

FACILITATORS

Peter Haines, Director of Training

Peter has over 35 years' experience in the field of regulation and compliance. A chartered accountant, Peter spent 6 years working with the UK's SFA (now the FCA) and has headed up regional and global compliance functions at Paribas, UBS Investment Bank and Bank of America.

Since 2006, Peter has specialised in training, focusing on boards, senior management and assisting the next generation of compliance officers. His coverage includes most areas of compliance and financial crime, corporate governance and risk management. His style is inclusive, interactive and based on practicalities, not just rules.



LOGISTICS AND BOOKING INFORMATION

Venue: In-person, One America Square, 17 Crosswall, London EC3N 2LB (Fleet Suite)

Date: Tuesday 4 November 2025

Time: 09:00 – 17:00 (Registration and light refreshments from 08:30. Lunch 12:30 – 13:30).

Price: £650 plus VAT (breakfast, snacks and drinks will be provided throughout the day with buffet lunch). Course limited to 20 participants

For further information, contact amanda.keegan@foreignbanks.org.uk

BOOK YOUR PLACE