

DEVELOP WORLD CLASS PROFESSIONAL STANDARDS IN COMPLIANCE & AUDIT

Presenting key services to support the development of professionals in international compliance and audit techniques and skills.

CTP Global provides organisations in the financial services sector with a complete, expert support service that will:

- Ensure the Compliance and Audit structure supports the business and reflects standards in your jurisdiction
- Provide insight and analysis of the performance of the team
- Identify development needs for the team and individuals
- Provide first class training and coaching to address group and individual needs



HOW WE WORK

Years of experience working with financial services firms provides our consultants with the ability to distinguish good practice from poor and the skills to work with groups and individuals to gain positive commitment to change.

We do more than train compliance and audit functions. Our business acumen combined with disciplined analysis provides a firm platform to move forward and achieve the best possible performance for Stakeholders.

OUR COMPLIANCE & AUDIT DEVELOPMENT SERVICES

We offer a full range of technical regulatory courses and a range of professional compliance skills programmes, briefings and workshops:

- **International Standards** – applying high regulatory standards, consistent with international best practice
- **Compliance Skills** – providing the best professional capabilities to support the organisation's regulated individuals

WHY ENGAGE US?

Perhaps what our customers say about us is more compelling than our own words:

"Good course, well worth attending" Head of Internal Audit, Insurance Company

"Better understanding of risk, very beneficial to my role" Compliance Director, Lloyd's Broker

"The course leader understood the subject VERY well" Compliance, Manager Major Life Assurer

INTERNATIONAL STANDARDS



We provide a range of courses specifically chosen to promote more effective international compliance and international regulatory standards in every organisation. All courses are tailored to the relevant regulatory jurisdiction. The most popular topics currently include:

Outcomes Based Regulation

This is a practical workshop that helps compliance professionals to shift their perspective to assess the outcomes being achieved to meet regulatory standards rather than systems and controls. A thoughtful leadership event that explains the most recent thinking of international regulators as they seek to re-position their supervisory approach to prevent future catastrophes.

What does it really mean? How can it work in practice? Arrange a workshop for your senior management group: [Achieving Outcomes Based Regulation](#)

Operational Risk Management

Specifically designed to show how operational risk management can be a useful tool for achieving targets and goals, this course enables you to make sense of the risk-based approach and to translate the theory of risk management into workable techniques for improving business performance.

Operational risk has been described by the Basel Committee as **“the risk of losses resulting from inadequate or failed internal processes, people and systems, or from external events.”**

See full course details here: [Operational Risk Management in Financial Services](#)

Treating Customers Fairly

A new approach to regulation that seeks to deliver fair treatment to consumers, rather than introducing more detailed rules. A number of jurisdictions are taking up this concept which is as much about how people perform as it is about measurement. This is where we can help by working with your people at all levels to articulate how they lead and deliver the concept of fair treatment.

Our approach includes:

- Training staff in what TCF means to them
- Evidencing and managing culture
- Working with senior management
- Preparing for a regulatory visit

For full details of course content: [Treating Customers Fairly](#) We would propose to tailor an event for an organisation that reflects their own regulatory framework and challenges.

Solvency 2 for Senior Management

The implementation of Solvency 2 in October 2012 will clearly bring fundamental changes to the way insurance firms manage capital and risk across Europe and beyond. In the UK, for example, the FSA is already asking firms for details of their approach to managing the transition to the new regime.

What is still not clear, however, for many insurance professionals is just what the introduction of Solvency II will mean in practical business terms. This course will provide insights and help businesses ensure they are fully prepared. For full course details: [Solvency 2 for General Insurers – a Business Guide](#)

Our courses, briefings and workshops can be held as in-house programmes tailored to your needs, we also provide combined courses where several firms share an in-house programme. Some courses are also held as open courses. Talk to us about your specific regulatory and training needs now. Visit our websites to see the wider range of technical and professional skills courses available.



COMPLIANCE SKILLS

The roles of compliance and audit are not easy! Individuals require highly developed skills to persuade, influence and gain support from business areas. We provide a range of courses specifically designed for individuals in a compliance, risk, audit or control function working in a financial services organisation. These include:

The Compliance Skills Academy

We have brought together the essential elements to deliver behaviours that underpin effective performance:

- Strong and responsive interpersonal skills
- Management and Leadership abilities that model the right behaviours
- Communications at all levels, particularly complex information and data
- The ability to understand strategy and culture

Investigative Interview Skills

Talking with people or more formally “interviewing” them has long been recognised as one of the core functions of a compliance officer’s work. Every fact-finding assignment and investigation relies heavily on investigative interviewing. As a main source of information it is claimed that up to 85% of all information is acquired in this way. It follows that the time and effort spent on improving the interview by planning ahead and using tried and tested techniques to reach valid, supported outcomes will be worthwhile.

Business Report Writing

Those of us working in control functions face particular difficulties in getting our message across. What we have to communicate is often complex, technical and sometimes unwelcome. Our audience can be indifferent, resistant and fearful of being criticized or exposed. Meeting these challenges calls for a considerable level of skill, and some psychology, to be employed in the written word.

Speed Reading

Many financial services professionals are required to read and understand a huge volume of publications, reports and other written matter simply to keep pace with developments or achieve further professional qualifications. The demands on time and mental resources can be simply overwhelming. Learn how to be even more effective from a true master.

ABOUT CTP GLOBAL



The Financial Services Industry is unique. At CTP Global we have a combined financial services industry experience of more years than we want to calculate; we understand your challenges and constraints and provide solutions to help you achieve your aims in good governance and great performance.

Clearly we are doing something right as we have over 120 in-house corporate clients of whom 80% have returned for more of the same! We do not advertise, but run open courses so that people have the opportunity to experience our approach. This is where we often meet clients for the first time. Of course, our existing clients are also kind enough to refer other people to us. Clients choose us for their board development, regulatory courses, in-house and bespoke courses, as well as consultancy and executive coaching.

Our vision is to be recognised as the leader in the Financial Services Sector for supporting and delivering organisational change through learning and development solutions. We champion the compliance culture and are proud that CTP won the **Best Training Services** Award in the 2008 OStCaR (Outstanding Service to Compliance and Regulation) Awards. We are also accredited for the quality of our training by the Financial Services Skills Council in the UK.

Our Values

- We only work when and where we add real value.
- We are obsessed with quality.
- We are different and daring. We challenge the status quo.
- We are passionate. We believe in what we do. We care.
- We act with integrity in whatever we do.
- We believe in action – time is money!

OUR PEOPLE



The global team includes people experienced at working with compliance and audit professionals internationally, and with exceptional communication and interpersonal skills. They come from a diverse range of backgrounds to bring the following skills and knowledge that we consider essential:-

- Worked at executive level in business and financial services
- Know the standards set for regulation at international and local level
- Have consultancy experience that enables them to recognise best practice
- Have a qualification or experience in a range of relevant disciplines

Some of our key international trainers and consultants:

Charles Meade King is a solicitor and compliance professional with over 20 years experience in the financial services industry, including roles at board and senior level for a bancassurer and a national IFA. As a consultant he has developed considerable expertise in risk management, compliance knowledge and skills, company secretarial and legal skills.

He has had close involvement in the launch and development of a new business, a merger between life companies, the take-over of an insurance company and the launch of new "own brand" life and unit trust companies. Charles has recruited and established three compliance teams and T&C and training functions and has successfully undergone many regulatory inspection visits.

Charles has presented at numerous seminars on regulatory matters and combines practical skills and technical knowledge to address the challenges that senior managers and compliance professional face. In 2009 he was a speaker at the ABCO conference.

David Cotton specialises in leadership, management and change. He spent over 20 years with two of the 'Big 4' consulting firms, where for some years he led a team of 100 trainers in 26 countries. David has worked in around 20 countries and 4 continents, in North America, the Middle East, North Africa, the Far East and much of continental Europe. He has transformed individuals at multinational corporations, SMEs, local and national government departments in the UK and overseas. He has coached senior executives, worked on strategic development at board level and managed pan-European training programmes for up to 30,000 people.

David is a graduate, an NLP practitioner and has Diplomas in both Training and Development and Hypnotherapy. Much of his work involves the use of accelerated learning techniques to help his clients to move towards full realisation of their potential. He has consulted and trained in every aspect of leadership, management, personal and organisational change. A prolific author, David has won best-seller awards for two of his books.

Bob White has over 25 years of experience in the financial services industry spanning insurance, investments and banking. He has held a number of board positions and has an established record in compliance as Compliance Director and Group Compliance Officer. In his early career he was an Economist and Assistant Secretary at the Committee of London and Scottish Bankers and the British Bankers' Association where he authored the BBA's Guide to the Regulation of Investment Business.

Bob runs courses for senior compliance professionals as well as training for senior management on governance and regulatory responsibilities. His consultancy work has included advising on compliance strategy and planning, developing compliance policies and procedures, building risk-based monitoring programmes and performing compliance reviews.

Bob holds an MA in Economics of Money and Finance, a Post Grad.Cert.in Education and a BSc (Hons) Social Sciences.

To find out more and to discuss how to tackle the challenges your organisation faces contact us on +44 (0) 20 3170 5779 or e mail info@ctpglobal.com

Visit our websites at www.ctpglobal.com and www.ctp.uk.com to discover more essential support services