



# Management

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Focused on a member firm embedding effective risk management practices, including the role of senior management and frontline business heads (e.g. to demonstrate effective ownership and management of risk)



# Training Objectives

1. Understand FCA position on Risk Management
2. Taking a strategic perspective
3. A Risk Management Policy
4. Categorising risk
5. Your approach to Risk Management
6. Looking at Conduct Risk
7. Tackling Financial Crime
8. Dealing with Conflicts of Interest





## The UK Corporate Governance Code (the Code) states that:

“The board is responsible for determining the nature and extent of the significant risks it is willing to take in achieving its strategic objectives. **The board should maintain sound risk management and internal control systems.**”

