

Programme of FSA seminars for compliance consultants and compliance officers



The FSA is offering a series of seminars on a variety of topics from September to March 2010. These seminars are aimed at third-party compliance consultants and in-house compliance officers who offer services to small FSA-regulated firms. The sessions will be interactive and include a case study where appropriate.

Topics

- **Retail Distribution Review professionalism**
- **General investments**

Fee

£250 per session

Dates and sessions

Retail Distribution Review professionalism

This seminar aims to provide delegates, with small retail firm clients, the opportunity to listen to presentations made by the FSA's Retail Distribution Team in relation to professionalism and engage in question and answer sessions with members of that team and supervisors from the FSA's Small Firms and Contact Division.

Date	Location	Timings	✓
19 January 2010	Edinburgh FSA Office	09.00 – 12.30	
21 January	Manchester Renaissance Manchester Hotel	09.00 – 12.30	
26 January	London De Vere, Canary Wharf	09.00 – 12.30	

General investments

The seminar will focus on current issues within the investment market and aims to give delegates the opportunity to engage in question and answer sessions with supervisors from the FSA's Small Firms and Contact Division.

Date	Location	Timings	✓
23 February 2010	London De Vere, Canary Wharf	09.00 – 12.30	
25 February	Edinburgh FSA Office	09.00 – 12.30	
2 March	Manchester Renaissance Manchester Hotel	09.00 – 12.30	

Booking form – Compliance consultants and compliance officers

Title (Mr/Mrs/Ms etc)	
First Name	
Last name	
Job Title	
Full company name	
Address	
Post code	
Tel	Fax
Email	
Special requirements	

To book

1. Complete the delegate details section. Please complete a separate booking form for each delegate – you can make photocopies of this form.
2. Complete the payment details and indicate your payment method.
3. Send booking form and payment to:

Dave Octave
Event Organiser
Financial Services Authority
25 The North Colonnade
Canary Wharf
London E14 5HS

Tel: 020 7066 4754

- Please fax this form to 020 7066 4755; or email to dave.octave@fsa.gov.uk
- If paying by BACS please submit payments to a/c 00828179 Sort code: 30-00-02, quoting reference: CC10[*delegate name*]
- Please make cheques payable to the Financial Services Authority

When you send us this completed booking form, with or without payment, you have made a formal agreement to attend the event. We will reserve space for you accordingly. To protect us from losses from non-attendance eg. the cost of hiring the venue and preparing event materials, cancellation fees apply as detailed.

Payment method:

(please tick)

- Cheque BACS VISA
 MasterCard Maestro

Please note we are unable to take Amex

Card No.

Exp. Date Issue No. (Maestro only)

Card Security No.

DATA PROTECTION

The personal information provided by you will be held on an Events database so we can send you information on future conferences, workshops, and related correspondence. The information will only be used for the purposes for which it was supplied.

If you would not like to receive information on future events, please tick here

How did you find out about this conference?

- FSA Website FSA Mailing Newspaper Advertisement
 Online Advertisement FSA Email FSA Newsletter

Other – please specify

Cancellation fee

- More than 14 days before the seminar
Cancellation fee – £100
- 14 days or less before the seminar
The full fee will be charged.

Confirmation

Once a space has been allocated to you we will write to confirm the date and receipt of your booking.

Once payment has been made you will receive full joining instructions and confirmation of receipt of payment.

Full payment is due before the event takes place.

We reserve the right to alter the programme.