



Thomsons Reuters Compliance Learning

# Senior Manager Accountability

The financial crisis of the late 2000s and its causes triggered regulators in key financial centers to focus on the importance of firm culture and conduct. Over the last few years, several jurisdictions have adopted new regulations to increase the accountability of senior managers.

The UK's Senior Managers and Certification Regime is at the forefront of this regulatory initiative. Other regulators in Hong Kong, Singapore and Australia have followed suit, promulgating regulations and guidelines similar in spirit to the UK rules. The US has also implemented regulations to improve accountability.

## Online training course: Senior Manager Accountability (Global)

Geography: Global | Duration: 45 minutes

The amount and methods of regulatory oversight vary by jurisdiction, but the general purpose of the regimes is to ensure that firms appoint fit and proper managers who are responsible for ensuring the firm's regulatory compliance. By holding these managers accountable, the rules seek to prevent misconduct and avoid oversight failures that can lead to substantial harm to customers, the firm and the financial industry.

Our Thomson Reuters Compliance Learning online training course focuses on the key jurisdictions to raise awareness of the regulations that aim to increase accountability of senior managers. Employees who complete the course will be able to:

- Describe the context and objectives of the senior manager rules
- Identify the key regulations and their focus
- Explain how the rules impact financial firms
- Describe how the rules apply to their role

## Educate your business, change behaviour and manage risk

With Thomson Reuters Compliance Learning, your employees receive practical, interactive, customizable and cost-effective training courses, which help change behavior and support a culture of integrity and compliance.

Thomson Reuters tracks more than 1,000 regulators and exchanges globally to provide you with a library of compliance training courses that reflect the latest laws and regulations – empowering you to act with confidence in a complex world.

Whether your organization is a small business or a large enterprise operating locally or globally, we will keep you in the know. Any changes can be included in your training suite so that you can focus on your core business activities, with assurance that your employees have access to up-to-date compliance training at all times.

## Interactive and engaging online training courses

Thomson Reuters Compliance Learning employs instructional design techniques optimized for risk and compliance training, enabling your business to educate in a way that reduces risk and encourages compliant behavior. Courses are driven by practical examples and interactive scenarios to ensure users truly understand and recognize the issues of most importance to your business and learn to instinctively act to support them.

Photographs, illustrations, videos, animations, color and typography are used to highlight important information and tell a story, making it easier for employees to understand, interact with and navigate through the courses.

Our Thomson Reuters Compliance Learning courses are fully customizable and scalable to fit the exact learning objectives set by your business.



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