



## DEALING WITH VULNERABLE CUSTOMERS



### Dealing with Vulnerable Customers – One day workshop

#### Course Objectives

At the end of this one-day workshop delegates will be able to understand why dealing with Vulnerable Customers properly is important; be able to explain the different types of vulnerability; know how to identify Vulnerable Customers and explain ways of dealing with them. They will also understand the skills required to be able to deal with potential difficult situations. Delegates will gain knowledge of the FCA requirements and be able to explain the consequences of not having appropriate governance and controls in place.

#### Topics covered during the day

- What is a Vulnerable Customer?
- The rules and FCA focus on Vulnerable Customers
- Why this is important and why firms need to take seriously – including a look at culture?
- Identifying Vulnerable Customers
- Dealing with Vulnerable Customers - and how to deal with them properly
- A look at Behavioral Economics
- Responsibility, Governance and Procedures
- The importance of staff training in how to deal with Vulnerable Customers
- Consequences of not dealing with Vulnerable Customers properly - fines, reputational damage etc
- Other considerations – Third Parties, Appointed Representatives, Outsourcing, Due Diligence, Risk Management.

#### Who should attend?

- Managers/ Supervisors/Team Leaders
- Those working in Compliance, Risk, Complaints, Sales, Training and Operations
- Directors and Approved Persons

#### METHODS USED

Presentation, Discussion, Q&A and some role play/case studies

#### LOCATION AND TIMES

Date: 5<sup>th</sup> June 2018  
Venue: 2nd Floor, Barlow House, Minshull Street,  
Manchester M1 3DZ  
Start time: 9.00am registration Course 9.30am – 4.00pm

#### THE COST

**£235 plus vat** (lunch and refreshments will be provided throughout the day) Please let us know in advance if you have any special dietary requirements)

#### TO BOOK OR FOR ENQUIRIES

Contact Deborah [deborah@createsolutions.co.uk](mailto:deborah@createsolutions.co.uk) or  
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