

ADVICE MATTERS

The CPD Solution For Financial Professionals

2024 | Vol 02 | Edition 01

In this issue

- 02 Welcome
- 03 Staying on Track: Consumer Duty
- a year on
- 08 Tech Check: CFDs
- different in many ways
- 12 Skills & Expertise: Enforcement
- change from the top?
- 16 Links to FCA documents
- 17 Learning outcomes
- 18 The ApEx standards

1HR ^{of structured} CPD
Accredited by

The London Institute
of Banking & Finance

Industry
updates

Key factors for
your business

Better interviews
with your clients

Technical
know how

In partnership with



ZISHI



access Learning



UK
FINANCE

Welcome to the second edition of Advice Matters for 2024.

Welcome

A new government will no doubt bring changes to the financial services sector. There are hints at less vigorous regulation being imposed by this Labour government. However, if the new directors of Enforcement and Market Oversight have their way, a firm will be in the spotlight once an investigation is underway, irrespective of whether they are found to be in the wrong or not. Article 3 gives an interesting and entertaining view of the proposed changes.

For those of you who are regular readers of Advice Matters, you know how once in a while we like to cover the not-so-popular and perhaps a little riskier investment products to keep your knowledge up to date. So, not to disappoint, our second article is on CFDs.

“Not Once and Done” – how many times have I read that in conjunction with Consumer Duty, but it is so true. We are now firmly in the throes of embedding Consumer Duty, and our first article provides an insight into the FCA’s view one year on, especially around closed products and services. Even though they are closed, they are definitely “Not Once and Done.”

We hope you enjoy this edition and explore the articles in the links. Remember, you can use this as 1 hour of structured CPD, great for supplementing your certification requirements.

The ZISHI Advice Matters Team

ApEx Standards

The learning outcomes and the ApEx Standards can be found at the end of this edition of Advice Matters

Recognised CPD programme

**The London Institute
of Banking & Finance**



ZISHI

 access Learning

