

Catch up with our  
webinars and podcasts

November 2023



# Financial Services (1/3)

## FCA new Consumer Duty

20-60 mins each

Sept 2022 – July 2023

The FCA's new Consumer Duty comes into force in July 2023 for new and existing products and services that are open for sale or renewal.

The Consumer Duty is a cornerstone of the FCA's three-year strategy, setting higher standards of care. It is being prioritised at every level of the FCA and will drive the FCA's supervision strategies and prioritisation.

The FCA expects good outcomes for customers to be at the heart of firms' strategies and business objectives. Leaders have a key role to play here. Firms' boards and senior management should embed the interests of customers into the culture and purpose of the firm.

With a significant shift in the FCA's expectations, firms can expect their implementation projects to come under real scrutiny in the coming months.

Our webinar series is designed to provide you with a deeper understanding of the FCA's expectations and prepare you for a seamless implementation.

Watch all our webinars [here](#)

### Implementation plans and toolkit

#### The Consumer Duty mindset and consumer understanding

#### Outsourcing arrangements through the lens of the Consumer Duty

#### SMCR obligations under the Consumer Duty: Boards and Consumer Duty Champions

#### Consumer Duty: what does it mean for wholesale firms?

#### Foreseeable harm, the FOS and litigation risk

#### What will be in the FCA's crosshairs?

## Cross border financial regulation: how to keep pace with the ever changing face of regulation

20 mins

April-Dec 2023

Against the backdrop of Silicon Valley Bank and Credit Suisse, our series explores hot topics in regulation at this pivotal time.

Watch our recordings and register for future sessions [here](#)

Topics in this series will include:

- Whistleblowers [watch here](#)
- Focus on AML [watch here](#)
- Handling a cross border investigation [watch here](#)
- Current regulatory priorities [watch here](#)
- Keeping up to date with the rules [watch here](#)
- Handling a cyber incident [watch here](#)
- Market abuse rules
- Sustainability related litigation risk

## Financial Services Bite Size Briefings 2023

30 mins each

Feb-Mar 2023

- Financial Promotions
- Skilled Persons Reports
- ESG and insurance: litigation risk
- Appointed Representatives
- ESG and insurance: regulatory requirements and supervisory expectations

Watch [here](#)

## How will the Edinburgh reforms impact firms? Initial takeaways

60 mins

Dec 2022

In December 2022 Chancellor of the Exchequer announced a new set of reforms to drive growth and competitiveness in the financial sector. But will these live it up to the industry's expectations?

We take a first look at four key areas:

- What are the main reforms and when will they happen?
- Retail – consumer credit reforms - what is proposed, likely impact and when they might happen
- Banking – is a change to the ringfencing regime a step forwards or backwards?
- Regulation – what will the PRA and the FCA do differently?

Watch [here](#)



## Financial Services (2/3)

### Current issues in contentious financial services

Watch all sessions [here](#)

Episode 4:  
**Conduct issues under SMCR**  
30 mins Dec 2022

Episode 2:  
**How the regulators take decisions**  
20 mins Nov 2022

Episode 3:  
**Providing information to the Regulator**  
30 mins Nov 2022

Episode 1:  
**The FCA's new interventionist supervisory style**  
20 mins Nov 2022

### People considerations in financial services transactions

45 mins Nov 2022

Watch [here](#)

### Banking disputes: data driven analysis and trends

60 mins Oct 2022

Watch [here](#)

### FCA difficult conversations

30 mins each June 2021

Sometimes things don't go to plan and when that happens, firms may find themselves having difficult conversations with the FCA.

Our bitesize briefings are packed with practical tips based on our collective experiences, designed to help you navigate those conversations and manage challenging situations.

**Episode 1** Responding to regulatory information requests  
Watch [here](#)

**Episode 2** Self-notification - when things go wrong  
Watch [here](#)

**Episode 3** Requirement to appoint a Skilled Person  
Watch [here](#)

**Episode 4** Managing an FCA investigation - the firm perspective  
Watch [here](#)

**Episode 5** Managing an FCA investigation - the individuals' perspective  
Watch [here](#)

**Episode 6** Consumer redress  
Watch [here](#)

**Episode 7** Whistleblowing  
Watch [here](#)

### New regime on AIF cross-border distribution and ESMA guidelines:

60 mins Nov 2021

New regime on AIF cross-border distribution and ESMA guidelines: EU perspectives and analysis of their impact on UK managers.

This webinar will provide an overview on the new rules applicable to cross-border distribution of AIFs following the implementation of Directive (EU) 2019/1160 concerning the cross-border marketing and distribution of investment funds (the "CBDF regime") and the associated ESMA guidelines on marketing communications. We discuss the varying implementation of the Directive across the EU and, in particular, the local differences in Luxembourg, Germany and France. They also focus on the impact of the CBDF regime on funds sponsors or managers based in a third-country (such as the UK) who are either providing services to funds located in the EU or targeting EU investors.

Our specialists highlight the benefits and drawbacks of the new regime and explain the extent to which certain jurisdictions have delayed implementation, or have gold-plated the regime, triggering a need for fund managers to take into account local specificities before starting pre-marketing and marketing activities. They also pick out key points from the new ESMA guidelines on marketing communications, explain their interaction with existing local regulations on marketing and give some practical pointers on the impact for fund managers.

Watch [here](#)



## Financial Services (3/3)

### Future of finance in CEE: Brexit policy for European financial markets

60 mins

Apr 2021

Watch [here](#)

### UK authorisation for EU financial institutions – the end of the temporary permissions regime

60 mins

May 2021

Watch [here](#)

### Future of Finance in CEE: Impact of Brexit on finance transactions in CEE

60 mins

Mar 2021

Watch [here](#)

### FS Update: Brexit, Covid, Connaught & London Capital & Finance: the future of UK financial regulation

60 mins

Feb 2021

In this session, we look at how a series of regulatory developments (Brexit, Covid, London Capital & Finance and Connaught) collided and made a real difference to financial services regulation in the UK.

Watch [here](#)

### LIBOR transition

20 mins

Feb 2021

All businesses will be affected by the discontinuation of LIBOR as a benchmark interest rate in 2021. In this video, an extract from a Risk, Reputation & Resilience Webinar, Finance Disputes Partner Tom Danes provides the need to know information on this topic and identifies the key risk areas.

Watch [here](#)

### IBOR Fallbacks and Supplement

60 mins

Dec 2020

Watch [here](#)

### The Fifth Money Laundering Directive (MLD5)

60 mins

June 2020

In this session, we look at the anti-money laundering rules in the UK and their application to the crypto-sector.

Watch [here](#)



# Fintech

## Fintech Bytes

FinTech Bytes by CMS is a podcast series which gives you a bite-sized overview of topics affecting the FinTech market and provides insights into some of the latest tech, regulatory, market trends and issues.

Listen to all episodes [here](#)

Episode 17:  
**New rules for marketing crypto assets - what to expect**  
18 mins Sept 2023

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Episode 16:  
**Data revolution - unleashing the power of synthetic data**  
Sept 2023

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Episode 15:  
**Unlocking the future: generative AI's unprecedented impact on FinTech and litigation**  
18 mins Jun 2023

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Episode 14:  
**Women in FinTech**  
25 mins Mar 2023

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Episode 13:  
**What are the key FinTech trends for 2023**  
15 mins Feb 2023

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Episode 12:  
**Diversity and Inclusion in FinTech**  
30 mins

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Episode 11:  
**Marketing cryptoassets in the UK**  
30 mins Jul 2022

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Episode 10:  
**How is FinTech disrupting Islamic Finance?**  
20 mins Jun 2022

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Episode 9:  
**Crypto assets – MLR registration**  
30 mins May 2022

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Episode 8:  
**DeFi**  
19 mins Jan 2022

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Episode 7:  
**Akoni**  
21 mins Dec 2021

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Episode 6:  
**CBDC**  
29 mins Nov 2021

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Episode 5:  
**Interview with Suprafin**  
15 mins Sep 2021

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Episode 4:  
**Interview with Alan Ainsworth (OBIE) part 2**  
60 mins Oct 2020

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Episode 3:  
**Disputes**  
23 mins May 2021

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Episode 2:  
**Interview with Alan Ainsworth (OBIE) part 1**  
20 mins Mar 2021

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Episode 1:  
**Operational resilience**  
20 mins Feb 2021

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## Funds

Will blockchain finally disrupt the funds value chain in 2023?

100 mins

Nov 2022

Watch [here](#)

Focus on Funds: Commercial contracts under a microscope

60 mins

Oct 2022

This session considers how force majeure, material adverse change and other similar clauses as well as the doctrine of frustration may be engaged (something that was a frequent issue during the pandemic and will continue to be as markets re-adjust and adapt to the new normal), as well as touching on impossibility of performance and providing some practical steps that businesses (including funds) can take to safeguard their position.

Watch [here](#)

Review of AIFMD and ELTIFR: key takeaways and challenges for loan-originating funds

60 mins

Jun 2022

On November 25, 2021, the European Commission released, among others, long-awaited proposals for reform of the Alternative Investment Fund Managers Directive (AIFMD – Directive 2011/61/EU) and the Regulation on European Long-term Investment Funds (ELTIFR – Regulation (EU) 2015/760). Such proposed amendments (collectively, the Proposal) cover key areas such as, inter alia, delegation arrangements, liquidity risk management, supervisory reporting and provision of depositary/custody services. One of the most significant proposed changes would undoubtedly be the new rules and requirements for loan-originating funds, which why we will devote special time to this topic. CMS is organising a webinar to provide a detailed overview on the key provisions of the Proposal and get a unique opportunity to meet with from various market players who will share their views on this topic.

Watch [here](#)

Focus on Funds: Data protection and cyber security

60 mins

Jun 2022

With the average business suffering some form of online attack every two minutes, this session will assess the scope of the risk, its legal implications and how you can protect your business. We will also offer guidance on a range of topics including common cyber vulnerabilities and how to manage them; GDPR lessons; recent case law on data protection and breach of confidence; and cyber insurance.

Watch [here](#)

Focus on Funds: Dispute Resolution

60 mins

Sep 2022

No matter how carefully you manage your relationships, disputes between GPs, LPs, and service providers, occur from time to time. The reputational and financial risks are high. This session offers a toolkit to help fund managers and institutional investors: understand the critical elements of the dispute and help make the right strategic decisions from day one; identify the practical steps necessary to handle the dispute; assess the risks factors and the potential relevance of alternative dispute resolution; understand new trends in disputes that the funds industry faces.

Watch [here](#)

Focus on Funds: understanding risks to directors and what is expected of them

60 mins

May 2022

Fund directors may find themselves personally responsible for aspects of a Fund's operations or investment decisions in respect of which they have little day-to-day experience or detailed knowledge, from health & safety and environmental obligations to data protection, anti-bribery programmes, modern slavery and supply chain issues and shareholder relations and remuneration. This session explains what fund directors need to know and how they can protect themselves, including recognising common triggers for claims against fund directors; the level of skill expected of fund directors; standards of probity for fund directors; duties to stakeholders; issues relating to remuneration and fund directors' service contracts and what to expect from your insurer.

Watch [here](#)

Focus on Funds: investment control

60 mins

Apr 2022

Foreign investment control plays an increasingly important role in M&A risk assessment. Navigating a plethora of regimes adds increasing time and cost to transactions, often making investment control an equally important factor in transactions as merger control. This session explores CMS's recent insights in this fast-moving space.

Watch [here](#)