



Regulatory Expectations in Data Governance

Welcome and speakers



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Agenda



Introduction

Data-Led Compliance

- What are the implications for firms?
- What can you do about it?

Data Requests from the regulator

- What happens during a regulatory enquiry or investigation?
- What happens during an enforcement action?
- Other Obligations SMCR etc.

Questions & Close

Introduction



What is driving the regulatory focus on a data-led approach to compliance and what does this mean for firms?

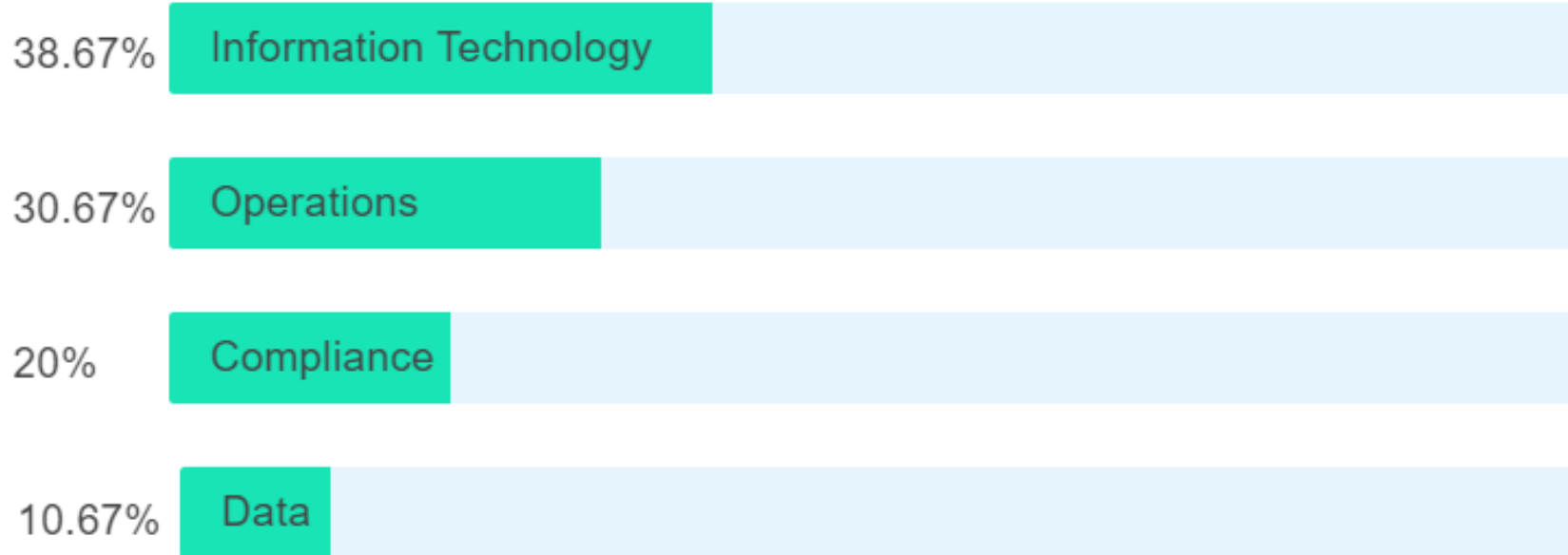
How can firms effectively navigate and respond to the ever-growing demands for data from regulators, such as the Financial Conduct Authority (FCA)

Poll 1 - Who owns data in your organisation?



1. Who owns data in your organisation?

Multiple choice with single answer



Data-led Compliance



What are the
implications for firms?

What can you do
about it?

Poll 2 - Have you encountered a data request in various capacities such as:



2. Have you encountered a data request in various capacities such as:

Multiple choice with single answer

9.86%

During an Investigation Process

33.8%

As part of an Audit Procedure

23.94%

Undergoing an FCA review

32.39%

In your current role

Data-led Compliance



What are the
implications for firms?

What can you do
about it?

Data requests from the regulator



What happens during a
regulatory enquiry?

What happens during a
regulatory investigation
or enforcement action?

Other Obligations SMCR
etc.

Poll 3 - What has been your experience with data requests?



3. What has been your experience with data requests?

Multiple choice with multiple answers

9.09% Obtained all required data smoothly from accessible sources

53.03% Encountered minor challenges but managed adequately

16.67% Issues compiling data, needed back-and-forth with regulator

36.36% Found the request process time-consuming and cumbersome

16.67% Faced significant obstacles gathering and providing the data



Any questions?
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