



**Association of
Corporate Investigators**



RICHARDSON LISSACK



**F T ITM
CONSULTING**

ACi IMMERSIVE REGULATORY INVESTIGATIONS WORKSHOP

Thursday, 1st October 2026



Immersive Regulatory Investigations Agenda



The UK Financial Services Environment

**Registration & Welcome
Coffee – Venue Opens**

09:30 - 10:00

Join us for a warm welcome and light refreshments as attendees arrive.

Regulatory Priorities: 2026

10:00 - 10:45

Examining critical 2026 regulatory developments including SMCR consultation, market abuse enforcement, SFO-FCA consolidation, crypto/AI regulation, and evolving approaches to financial crime and fraud prevention.

**Reporting: the good, the bad
and the ugly**

10:45 - 11:30

The enforcement implications of reporting obligations, from trade surveillance prosecutions to the FCA's use of Listing Rule 1.3.3 for "name and shame" tactics. Covering fit and proper assessments, PRIN 11 thresholds, non-financial misconduct, comfort reporting to stakeholders, and SAR/STR sanctions reporting quality.

Networking

09:50 - 10:35

Chat with your fellow delegates and grab a cup of tea



Immersive Regulatory Investigations Agenda



Managing Regulatory Investigations: Case Study

Co-operation and Leniency

112:00 - 12:45

Examining varying approaches to co-operation and leniency across UK regulators including the FCA, CMA, SFO, HMRC, and OFSI. SFO co-operation frameworks, CMA leniency programmes, the distinction between firm and individual liability, and the benefits of self-reporting and early disclosure across different enforcement regimes.

A false Start: Investigation Pitfalls

12:45 - 1330

Navigating the common pitfalls that can derail internal investigations, from privilege issues and managing multiple stakeholders to meeting co-operation and leniency expectations across jurisdictions. This session addresses the challenges of interconnected obligations and liabilities, scope creep, poor data quality, and maintaining a consistent narrative throughout complex investigations.

Lunch

13:30 - 14:30

Discuss the morning's programme over a light lunch

Data

14:30 - 15:15

Examining the critical role of data in regulatory investigations, from initial sources and collection methods through to analysis and regulator expectations. Best practices for sharing data with regulators, demonstrating your workings, and ensuring data integrity and accuracy throughout the investigative process.

Immersive Regulatory Investigations Agenda



The Upper Tribunal

15:15 - 16:00

Networking

16:00 - 16:30

Assertive Supervision

16:30 - 17:30

Networking Drinks

17:30 - 18:30

The right strategy for the RDC vs UK/Lessons from recent judgements

A short break and refreshments before our last afternoon sessions

Investigation by another name/Procedural differences between voluntary and own initiative

Join us for a quick drink before you depart

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3