

Action list: Conduct rules

The Conduct Rules which have already been introduced for banks will be extended to all FCA solo-regulated firms. The “near-final” rules were published on 04 July 2018 and will apply to FCA solo-regulated firms from 09 December 2019.

This list summarises the steps which in-scope firms are likely to need to take in order to comply with the regime. To promote internal discussion and planning around these changes, this document summarises some of the steps which we anticipate will be required in relation to the Conduct Rules.

Implementation of Conduct Rules action points:

- Identify which categories of staff are covered (and who is excluded).
- Categorise employees by groups depending on their function such that training can be tailored appropriately.
- Identify training provider and design tailored training for staff.
- Implement training.
- Establish systems for reporting disciplinary action resulting from breaches of conduct rules.

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