

GOVERNANCE & COMPLIANCE | COURSE BROCHURE

Regulatory Reporting and Supervisory Relations

5 days | Classroom training | English

SMART HORIZON

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London W2 6BD, United Kingdom

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Course content

Why attend

Regulated firms must submit accurate reports and maintain constructive relationships with supervisors. This course covers regulatory reporting processes, data governance and controls, reconciliation and validation, handling supervisory reviews and inspections, responding to information requests, remediation and building trust with regulators.

Reporting errors and poor relationships with regulators attract scrutiny and penalties. You will learn to manage both with confidence.

Professional Problems This Course Is Designed to Solve

• Difficulty translating subject knowledge into practical workplace decisions.
• Inconsistent approaches to the activities covered in the course outline.
• Lack of a structured plan for applying and reviewing new skills.

Course methodology

Process design exercises, inspection simulations, case studies and communication role plays.

Course objectives

By the end of this course, participants will be able to:
• Understand regulatory reporting obligations
• Design reporting processes and controls
• Ensure data quality and reconciliation
• Prepare for supervisory reviews and inspections
• Respond to regulator requests effectively
• Manage remediation and build trust

Target audience

This course is suitable for:
• Regulatory reporting staff
• Compliance officers
• Finance and risk professionals
• Regulatory affairs managers
• Senior managers in regulated firms



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Target competencies

Participants will develop competencies in:

- Reporting process design
- Data quality
- Inspection readiness
- Regulator communication
- Remediation management

Course outline

Day 1: Regulatory Reporting

09:00–10:08	Obligations
10:08–11:00	Reporting calendars
11:00–11:30	**Coffee break**
11:30–11:45	Reporting calendars (continued)
11:45–12:53	Ownership
12:53–14:00	Exercise

Day 2: Processes and Controls

09:00–10:08	Data lineage
10:08–11:00	Validation
11:00–11:30	**Coffee break**
11:30–11:45	Validation (continued)
11:45–12:53	Reconciliation
12:53–14:00	Workshop

Day 3: Supervisory Reviews

09:00–10:08	Inspection process
10:08–11:00	Preparation
11:00–11:30	**Coffee break**



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11:30–11:45	Preparation (continued)
11:45–12:53	Document requests
12:53–14:00	Simulation

Day 4: Communication

09:00–10:08	Regulator meetings
10:08–11:00	Responses
11:00–11:30	**Coffee break**
11:30–11:45	Responses (continued)
11:45–12:53	Escalation
12:53–14:00	Role play

Day 5: Remediation

09:00–10:08	Findings
10:08–11:00	Action plans
11:00–11:30	**Coffee break**
11:30–11:45	Action plans (continued)
11:45–12:53	Trust building
12:53–14:00	Action plan

The timings provided are estimates and may vary depending on the number of participants and the discussions taking place during the sessions. They are indicative only and do not constitute a binding commitment.



Course content

Dates, venues and fees

Current published course plans. Fees are per participant in GBP, excluding unconfirmed taxes.

Venue	Start date	End date	Fee (GBP)
Rome Confirmed dates	16 Nov 2026	20 Nov 2026	**£2,450.–**
Online Confirmed dates	16 Nov 2026	20 Nov 2026	**£1,250.–**
Dubai Confirmed dates	7 Dec 2026	11 Dec 2026	**£3,150.–**
Online Confirmed dates	7 Dec 2026	11 Dec 2026	**£1,250.–**
Barcelona Confirmed dates	11 Jan 2027	15 Jan 2027	**£2,840.–**
Online Confirmed dates	11 Jan 2027	15 Jan 2027	**£1,250.–**
Cape Town Confirmed dates	25 Jan 2027	29 Jan 2027	**£1,890.–**
Online Confirmed dates	25 Jan 2027	29 Jan 2027	**£1,250.–**
Barcelona Confirmed dates	15 Feb 2027	19 Feb 2027	**£2,840.–**



Course content

Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Online Confirmed dates	15 Feb 2027	19 Feb 2027	**£1,250.–**
Cape Town Confirmed dates	8 Mar 2027	12 Mar 2027	**£1,890.–**
Online Confirmed dates	8 Mar 2027	12 Mar 2027	**£1,250.–**
Dubai Confirmed dates	29 Mar 2027	2 Apr 2027	**£3,150.–**
Online Confirmed dates	29 Mar 2027	2 Apr 2027	**£1,250.–**
Vienna Confirmed dates	19 Apr 2027	23 Apr 2027	**£2,940.–**
Online Confirmed dates	19 Apr 2027	23 Apr 2027	**£1,250.–**
Frankfurt Confirmed dates	3 May 2027	7 May 2027	**£2,650.–**
Online Confirmed dates	3 May 2027	7 May 2027	**£1,250.–**



Course content

Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Cape Town Confirmed dates	24 May 2027	28 May 2027	**£1,890.–**
Online Confirmed dates	24 May 2027	28 May 2027	**£1,250.–**
Dubai Confirmed dates	14 Jun 2027	18 Jun 2027	**£3,150.–**
Online Confirmed dates	14 Jun 2027	18 Jun 2027	**£1,250.–**
London Confirmed dates	5 Jul 2027	9 Jul 2027	**£2,450.–**
Online Confirmed dates	5 Jul 2027	9 Jul 2027	**£1,250.–**
Kuala Lumpur Confirmed dates	26 Jul 2027	30 Jul 2027	**£1,450.–**
Online Confirmed dates	26 Jul 2027	30 Jul 2027	**£1,250.–**
Amsterdam Confirmed dates	9 Aug 2027	13 Aug 2027	**£2,540.–**



Course content

Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Online Confirmed dates	9 Aug 2027	13 Aug 2027	**£1,250.-**
London Confirmed dates	30 Aug 2027	3 Sept 2027	**£2,450.-**
Online Confirmed dates	30 Aug 2027	3 Sept 2027	**£1,250.-**
Rome Confirmed dates	20 Sept 2027	24 Sept 2027	**£2,450.-**
Online Confirmed dates	20 Sept 2027	24 Sept 2027	**£1,250.-**
Istanbul Confirmed dates	11 Oct 2027	15 Oct 2027	**£2,650.-**
Online Confirmed dates	11 Oct 2027	15 Oct 2027	**£1,250.-**
Rome Confirmed dates	1 Nov 2027	5 Nov 2027	**£2,450.-**
Online Confirmed dates	1 Nov 2027	5 Nov 2027	**£1,250.-**



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Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Vienna Confirmed dates	15 Nov 2027	19 Nov 2027	**£2,940.-**
Online Confirmed dates	15 Nov 2027	19 Nov 2027	**£1,250.-**
Paris Confirmed dates	6 Dec 2027	10 Dec 2027	**£2,860.-**
Online Confirmed dates	6 Dec 2027	10 Dec 2027	**£1,250.-**

Plan your next step

Dates, availability, exact venue, taxes, inclusions and payment terms require written confirmation. This brochure is not a quotation, registration, booking confirmation or visa invitation. Participants receive a Smart Horizon UK certificate of attendance; programmes are not externally accredited and do not award a professional qualification or designation. Confirm arrangements before booking travel.

For group or in-house training, contact our learning team to discuss your objectives and delivery arrangements.

Contact Smart Horizon

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View the latest course details online