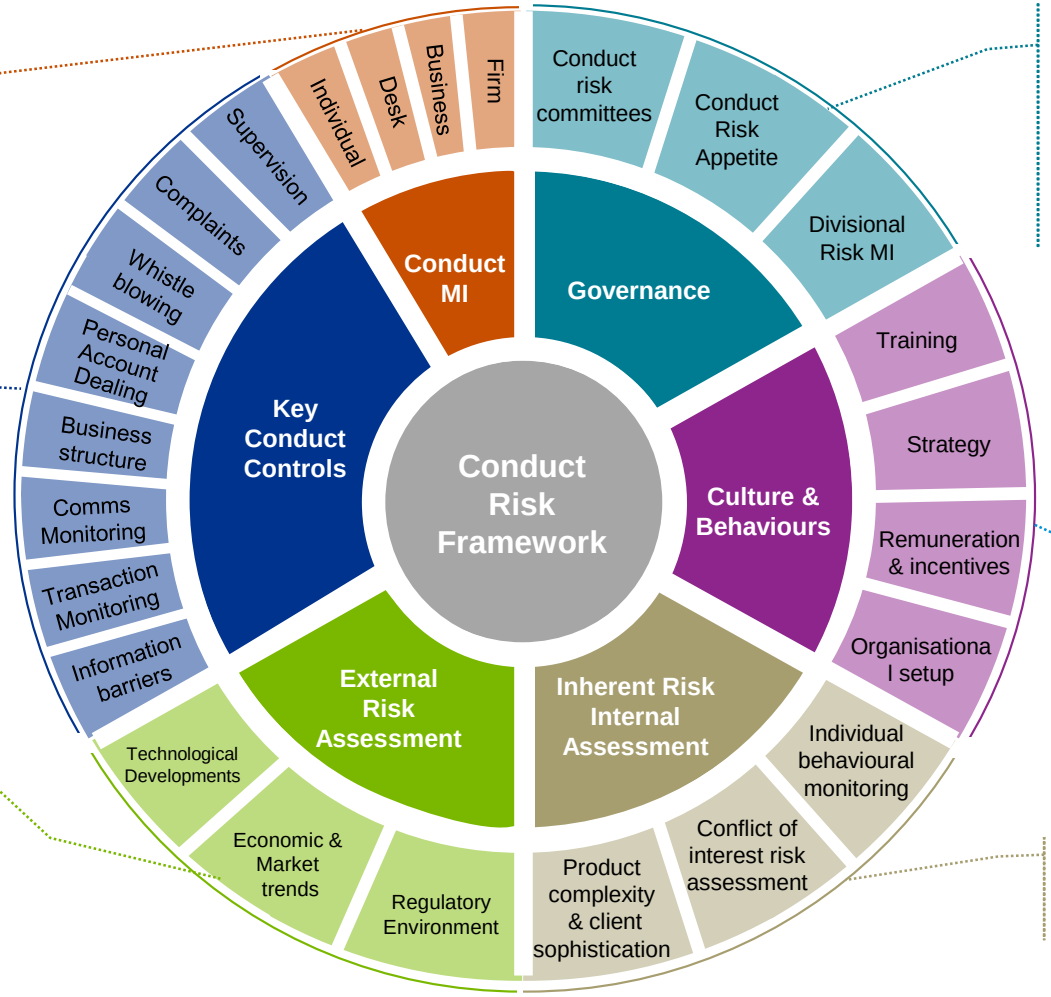
Putting the framework together

Key Conduct MI and behaviour metrics allow management to develop a clearer view of areas if higher conduct risk

Assessment of key conduct controls and residual risk

Risk assessment of the business in the context of changing customer expectations, as well as developments in market, regulatory and technological landscapes,



Conduct risk requires both a top down and bottom up approach. Firm wide governance and definition are required to ensure the frameworks are in place to support the businesses managing the Conduct risks day to day

Firms risk culture is set through the tone at the top, messaging and training. The behaviour of employees is linked to how staff are measured and rewarded

Inherent risk assessment of the business, its products and the organisational setup.

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