BLACKBIRD FOR TRAINING

# Consumer Protection and Market Conduct Supervision in Financial Services

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Toronto (Canada)

UK Traininig
PARTNER



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# Consumer Protection and Market Conduct Supervision in Financial Services

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## Introduction

Consumer protection and market conduct supervision are fundamental to maintaining confidence, integrity, and stability within the financial system. As financial products grow more complex and digital distribution channels expand, supervisors must ensure that financial institutions treat consumers fairly, disclose information transparently, and manage conduct risks effectively.

This intensive one-week course is designed for regulators, supervisors, and policy professionals responsible for consumer protection, market conduct supervision, and financial inclusion. The programme focuses on supervisory frameworks, conduct risk assessment, complaints handling, digital consumer risks, and enforcement approaches applied by leading regulatory authorities worldwide.

By combining regulatory principles with practical supervisory tools, the course enables participants to strengthen oversight of consumer outcomes across banking, microfinance, mortgage lending, and digital financial services.

## Course Objectives

By the end of this course, participants will be able to:

- Understand the role of consumer protection in financial stability and market confidence.
- Identify key market conduct risks across financial institutions.
- Assess fairness, transparency, and suitability of financial products and services.
- Supervise complaint handling, redress mechanisms, and dispute resolution processes.
- Address consumer protection challenges in digital and fintech-driven markets.
- Apply effective supervisory and enforcement tools for market conduct oversight.

## Course Outlines

### Day One: Foundations of Consumer Protection and Market Conduct

- Principles of consumer protection and fair treatment.
- Market conduct supervision versus prudential supervision.
- Regulatory mandates and international best practices.
- Consumer outcomes and supervisory expectations.
- Role of supervision in promoting financial inclusion.



## Day Two: Product Governance and Fair Treatment

- Product design, approval, and governance frameworks.
- Pricing transparency and disclosure requirements.
- Assessing product suitability and affordability.
- Supervisory review of sales practices and incentive structures.
- Managing conflicts of interest.

## Day Three: Complaints Handling and Redress Mechanisms

- Supervisory expectations for complaints management systems.
- Using complaints data as a supervisory and risk assessment tool.
- Alternative dispute resolution mechanisms and ombudsman models.
- Root cause analysis and corrective actions.
- Enforcement actions related to consumer harm.

## Day Four: Digital Finance, FinTech, and Consumer Risks

- Consumer protection challenges in digital financial services.
- Transparency requirements in digital lending and payment services.
- Data privacy, consent, and consumer data protection.
- Managing mis-selling, fraud, and abusive practices.
- Supervisory approaches to fintech innovation.

## Day Five: Supervision, Enforcement, and Market Discipline

- On-site and off-site supervision of market conduct.
- Risk-based approaches to consumer protection oversight.
- Supervisory reporting and early warning indicators.
- Enforcement tools, sanctions, and remediation measures.
- Measuring supervisory effectiveness and consumer outcomes.

# Why Attend This Course: Wins & Losses!

- Strengthen oversight of consumer protection and market conduct risks.
- Improve supervisory assessment of fairness and transparency.
- Enhance protection of consumers in digital financial markets.
- Gain practical tools for complaints analysis and enforcement actions.
- Support financial inclusion and market confidence.



## Conclusion

The Consumer Protection and Market Conduct Supervision in Financial Services course equips supervisors with a comprehensive framework for overseeing fair treatment and ethical conduct within financial institutions. By integrating regulatory principles with applied supervisory techniques, the programme supports stronger consumer outcomes and more resilient financial markets.

**This course is particularly suitable for central banks, financial regulators, and supervisory authorities responsible for consumer protection, market conduct oversight, and financial inclusion.**

