

CHARLES CATTELL

Partner
The Cattellyst Consultancy

Charles Cattell is a consultant and training practitioner with extensive expertise across the financial services sector. He is a Partner of The Cattellyst Consultancy, a competence and compliance consultancy which advises and trains a broad range of financial services clients on the human aspects of regulation including the management of people risk, the development of competence and expertise, ethical business practices and the enhancement of corporate culture. His personal client list includes banks, asset managers, investment firms, insurers and intermediaries, for whom he has carried out a range of senior level and technical assignments relating to corporate governance, learning, personal development, coaching and leadership. He also works with trade associations and examining bodies and has been retained by financial services and pensions regulators on policy and benchmarking activities.

Significant projects he has undertaken include:

- Reviewing firms' Senior Management and Certification Regime (SMCR) and Training and Competence arrangements.
- Acting as adviser to firms implementing the SMCR.
- Developing and delivering briefing sessions for boards, individual directors and ExCos on corporate governance issues and regulatory obligations, including SMCR.
- Conducting evaluations and audits of board and organisational culture.
- Conducting board level workshops on talent management within a regulated environment.
- Designing and facilitating management, supervisory, conduct risk and technical development programmes for managers with supervisory responsibilities and for control function specialists.
- Benchmarking good practice and running associated workshops on regulatory topics including individual accountability, SMCR, conduct risk and employee life-cycle issues.
- Advising firms and associations about regulatory requirements relating to training, competence and professionalism arrangements for senior management and distribution roles.
- Authoring guidance material on business culture and ethics.
- Conducting the regular audit of one of the Accredited Bodies (to meet FCA accreditation rules).
- Undertaking research into competence and ethics market practice for the regulators.
- Developing the occupational pension trustee knowledge and understanding regime for the Pensions Regulator and the associated governance e-learning package "Trusteetoolkit.com".
- Auditing training and competence arrangements to verify compliance with overseas regulatory requirements.

During his career, Charles has been Principal of the Chartered Insurance Institute's College of Insurance, Training and Recruitment Manager with Cazenove and Co, Director of the Insurance Industry Training Council and a Management Adviser for the Financial Services Department of the Industrial Society.

Charles is a Chartered Fellow of the Chartered Institute of Personnel and Development (CIPD), a Chartered Member of the Chartered Institute for Securities & Investment (CISI) and a Chartered Insurance Practitioner and an Associate of the Chartered Insurance Institute (CII). Charles serves on the committee of the CISI's Training, Competence and Culture Interest Group.