



Phundex Pathway Templates – Regulatory Meeting Preparation

We've worked for and with Regulators in many countries over the years, working with clients to develop an efficient way to manage their regulatory liaison process. While speaking with one of our clients recently, they said they were juggling multiple discussions with their Regulators, and we decided to build an initial Pathway to help streamline the process.

There are various interactions you may have with your Regulator(s). It may be that your industry is the subject of a thematic review by a local Regulator. They want to see how all regulated entities in a particular industry are working or being impacted by the current environment. By setting up the thematic review, they can see whether the impact on the specific industry is the same for all members of that industry

You may also be managing regular Regulatory visits (often referred to as "close and continuous" meetings). In this case, the interaction with the Regulator specifically regards your organisation, and any findings will relate to changes you may need to make. You may have specific topics to cover in certain quarters of the year or regular monthly filings that need to be made.

Finally, you may be doing a discrete exercise, such as a stress test, where other organisations do the same activity, but your results will be vetted and responded to individually.

Having worked with clients over the years working with multiple Regulators, we know it can sometimes be challenging to coordinate meetings and submissions across our organisation. That can be even more difficult when dealing with numerous Regulators.

Having a structured process for preparing for Regulatory Meetings, no matter what type, makes it much easier to ensure you have all of the information required for the meeting and the right people to answer questions on the day. It also ensures that you are closing out any follow-up points from prior discussions and can track any outstanding issues when they are due.

Our Pathway Template takes you through the various steps to gather the materials for the meeting, including a checklist of topics to cover and an Executive Summary Template to provide a standardised summary for all documents. Once you've tailored the Regulatory Meeting Pathway to meet your requirements, you can set it as one of "My templates" and replicate it for every Regulatory meeting, providing transparency, a standardised process, and a clear governance structure.

Want to know more? Check out our resources page at <https://phundex.com/resources/>, drop us an email at: hello@phundex.com, or check out our website chat button. To book a demo – you can either use the link on our website or email support@phundex.com, and they will be happy to set it up for you.