JUPITER PRIME

Consulting • Training • Advisory

جوبيتر برايم للاستشارات والتدريب

COURSE BROCHURE

# Financial Services Staff Misconduct Investigations Training Course

24 – 28 May 2027
Casablanca

# Financial Services Staff Misconduct Investigations Training Course

**Ref:** 2365_88709 **Date:** 24 – 28 May 2027 **Location:** Casablanca **Fees:** 4500 GBP

Financial Services Staff Misconduct Investigations is a 1-week training course for HR, compliance and internal audit investigators in banks, insurers and investment firms, built around an investigation report that sets out allegations, evidence, findings and recommended outcomes. Conduct failures by employees now draw scrutiny from boards, clients and supervisors alike, so firms need inquiries that are fair, fast and defensible. Jupiter Prime Training delivers this course on financial services staff misconduct investigations.

## Why Financial Services Staff Misconduct Investigations Matters Now

Three pressures shape the subject today. Speak-up channels bring more allegations, from mis-selling and expense abuse to harassment and leaks of client information, and reporters expect protection and feedback. Supervisors and boards ask firms to show that conduct breaches lead to consistent consequences, including fitness and propriety assessments of individuals. Digital evidence from chat, trading and email systems has multiplied, raising questions of privacy and proportionality. A firm that investigates well protects clients, reporters and accused staff alike; one that investigates poorly faces unfair dismissals, retaliation claims, lost evidence and a damaged culture.

## Who Gains Most from Financial Services Staff Misconduct Investigations

- HR specialists who run disciplinary inquiries and decide interim measures such as suspension
- Compliance officers who handle conduct breaches, mis-selling and conflicts of interest
- Internal auditors who examine expense, payment and access anomalies behind allegations
- Speak-up channel owners who triage reports and protect reporters from retaliation
- Legal and employee relations advisers who test findings before sanctions are applied

Firms gain most when HR, compliance and audit colleagues who share casework attend together.

## Financial Services Staff Misconduct Investigations Capabilities

Participants move from a raw allegation to findings that a disciplinary panel can rely on.

- Assess an incoming allegation for scope, urgency and reporter protection — case triage panel
- Design an investigation plan with terms of reference and evidence map — case sponsor
- Apply chain-of-custody steps to documents, devices and communications records — legal advisers
- Conduct structured interviews with reporters, witnesses and subjects — disciplinary panel
-

Weigh evidence against the balance of probabilities standard — sanction decision makers
- Build an investigation report with findings, root causes and control gaps — board conduct committee

## Key Financial Services Staff Misconduct Investigations Terms

- Terms of reference — a written mandate stating the allegations, scope, investigator and timescale of an inquiry.
- Chain of custody — a record of who collected, held and handled each piece of evidence, protecting its integrity.
- Balance of probabilities — the standard of proof asking whether an allegation is more likely true than not.
- Retaliation — any detriment imposed on a person because they reported a concern or supported an inquiry.
- Subject interview — the meeting where the accused employee hears the allegations and gives an account.
- Fitness and propriety — an assessment of whether an individual remains suitable for a regulated role.

## Financial Services Staff Misconduct Investigations Day by Day

## Day 1: Conduct Risk and Allegation Intake

- Conduct Risk Typology in Financial Firms — Which Cases Need Inquiry
- Speak-Up Channel Intake Form — Capturing Allegations Without Leading
- Triage Matrix for Severity and Urgency — Allocating Cases to Investigators
- Reporter Confidentiality Safeguards — Preventing Retaliation From the Outset
- Interim Measures Decision Log — Suspension, Access Removal or Reassignment

## Day 2: Planning the Inquiry

- Terms of Reference Drafting — Mandate, Scope and Independence of Investigator
- Allegation-to-Evidence Matrix — Linking Each Claim to Proof Sources
- Conflict of Interest Checks — Choosing Internal or External Investigators
- Privacy and Proportionality Assessment — Limits on Monitoring Employee Data
- Investigation Timeline and Communication Plan — Keeping Parties Informed

## Day 3: Gathering and Preserving Evidence

- Chain of Custody Records — Securing Documents, Devices and Logs
- Chat, Email and Trade Surveillance Extraction — Searching With Defined Keywords
- Expense and Payment Trail Testing — Spotting Fabricated Claims and Diversions
- CCTV and Access Log Review — Corroborating Presence and Timing
- Evidence Index and Exhibit Numbering — Preparing a Traceable Case File

## Day 4: Interviewing and Weighing Findings

- Phased Investigative Interview Model — Planning, Engaging and Closing Fairly
- Witness and Reporter Interviews — Open Questions and Accurate Notes
- Subject Interview Disclosure — Putting Allegations and Evidence to the Employee
- Credibility and Corroboration Assessment — Resolving Conflicting Accounts
- Balance of Probabilities Findings — Substantiated, Unsubstantiated or Inconclusive

## Day 5: Practising the Investigation Report

- Mis-Selling Case Simulation — Retail Banking Adviser Allegation From Intake to Findings
- Expense Fraud Case Simulation — Insurance Claims Manager Evidence Review
- Root Cause and Control Gap Analysis — Lessons for Policy Owners
- Sanction Recommendation Framing — Proportionate Outcomes and Fitness Reviews
- Investigation Report Completion — Allegations, Evidence, Findings and Recommendations

## Applying Financial Services Staff Misconduct Investigations After the Course

- Rebuild the speak-up intake form and triage matrix so every new allegation is scored and allocated the same way.
- Audit one closed case file against chain-of-custody and interview disclosure steps and record gaps for the next inquiry.

## Financial Services Staff Misconduct Investigations Questions FAQ

### What are financial services staff misconduct investigations and why do they matter now?

They are structured inquiries into allegations that employees of financial firms breached conduct rules or policies. More speak-up reports and closer board and supervisor scrutiny mean firms must show fair, consistent and documented outcomes.

### Which roles gain most from financial services staff misconduct investigations?

HR, compliance, internal audit and speak-up channel owners gain most. Each handles part of the case, so shared methods for intake, evidence and interviewing reduce disputes and repeated work.

### How do financial services staff misconduct investigations differ from safety incident investigations?

They examine individual conduct and intent rather than equipment or process failures. Safety incident inquiries seek technical root causes, while misconduct inquiries test allegations against evidence, protect reporters and support disciplinary decisions.

## What do you bring back from financial services staff misconduct investigations?

You bring back an investigation report built on a realistic case, showing allegations, an evidence index, interview findings, the standard of proof applied and proportionate recommendations.

## Financial Services Staff Misconduct Investigations: The Way Forward

The investigation report first informs whether an allegation is substantiated and what sanction is proportionate. Disciplinary panels, HR leads and conduct committees rely on it, and policy owners use its control gaps. After its first use, revisit how reporters received feedback, since trust in the speak-up channel decides how many concerns reach investigators next time.