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CFP : CERTIFICATE IN FINANCIAL PLANNING: STUDY TEXT : 2005 EDITION

FINANCIAL SERVICES, REGULATION AND ETHICS

STUDY TEXT: 2019-20. R01

DIGITAL FINANCE

MEETING ETHICS AND COMPLIANCE CHALLENGES IN FINANCIAL SERVICES

"The chaos unleashed on the global financial system in 2007-08 - a toxic combination of the cavalier attitude of some participants and of obscured systemic risks - triggered a wave of financial regulation. Many of those regulations focus on the ethical behaviour of financial services providers themselves: the quality of their supervision of staff; their transparency with customers, shareholders and regulators; and their thoroughness and honesty in evaluating the risks they face as individual institutions and the risks they could pose to the broader economy. Today, financial services companies are in the process of implementing the changes required by the new regulations. At the same time, they are responding to a surge of digitisation, in commerce in general and in financial services in particular. Some forwardlooking financial services companies - either alone or in combination with financial technology providers - are seizing on the opportunities presented by both regulation and digitisation to upgrade their internal and customer-facing systems. Their aim is to improve risk assessment, increase transparency, and thereby begin to restore the public trust that was damaged by the financial meltdown. This research considers how financial services companies are responding to both the wave of regulations and the surge in digitisation. It considers how adopting specialised digital technologies might help financial companies to improve their services, manage risks better, raise their standards of transparency and build trust. The research reaches the following main conclusions: 1) The wave of regulation, particularly those involving data storage and handling, are causing major operational worries for financial services companies 2) While complaining about the volume and scope of new ethics-oriented regulation, three-fourths of financial services companies surveyed also claim that they are raising their standard of ethical conduct beyond the requirements of the law, and are using digital technologies to do so; 3) In particular, financial companies say they rely most on advanced data analytics and cyber security technologies to raise their standard of ethical conduct, although the use of these technologies alone is not sufficient to foster a culture of ethical behaviour; 4) A majority of financial companies surveyed say they have tried to - and succeeded in - turning compliance with ethical standards into a competitive advantage; the biggest benefits cited were in enhancing companies' brand images; 5) On the other hand, three-fourths of companies surveyed say the use of data mining and/or enhanced data analytics carries potential ethical problems of its own, such as possibly compromising customer privacy; respondents point to the use of third-party analytics providers as particularly risky in this regard; 6) While focusing on complying with the new transparency and cyber security requirements, financial services companies surveyed admit they have made few changes to internal procedures or codes of conduct - suggesting that their focus is on narrow legal compliance rather than on changing corporate cultures to emphasise ethical conduct."--Executive summary.

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