



LEAD WITH REGULATORY CONFIDENCE

OPTIMA NEWSLETTER

TRUSTED EXPERTISE.
GLOBAL REACH.
STRATEGIC EXECUTION.

OCTOBER 13
2026

This Edition:

- Regulatory Deadlines
- Upcoming Events
- Regulatory Updates
- Enforcement Actions
- Crypto Corner
- Leadership & Development

Upcoming Regulatory Deadlines

- OCTOBER 13, 2026 | [QUARTERLY FORM 13H](#)
- NOVEMBER 16, 2026 | [QUARTERLY FORM 13F](#)
- NOVEMBER 27, 2026 | [LARGE HEDGE FUND ADVISER QUARTERLY FORM PF](#)

Upcoming Events

HFM Hedge Fund Legal and Compliance Summit | Europe

ST ALBANS, UK | OCTOBER 12–13, 2026 | [LEARN MORE](#)

Optima Partners is pleased to announce that US Partner Jennifer Duggins will be speaking at the HFM Hedge Fund Legal and Compliance Summit | Europe, with fellow UK Partners Sani Jackson and Hap Oakley also attending on behalf of the firm. Jennifer Duggins will join the session, “Cross-Atlantic Compliance: A Look at US and UK Regulatory Engagement,” offering insights into SEC examinations, current areas of regulatory scrutiny and the key differences between SEC and FCA engagement. The two-day summit brings together senior legal and compliance leaders from across Europe’s hedge fund industry to explore developments including regulatory divergence, artificial intelligence, AIFMD II and operational resilience. Optima looks forward to connecting with industry peers and sharing practical perspectives on the evolving regulatory challenges facing investment managers.

MCO Customer Roadshow Europe 2026

LONDON, UK | OCTOBER 13, 2026 | [LEARN MORE](#)

Optima Partners is pleased to announce that Partner Greg Worsfold will be speaking at the London edition of the MCO Customer Roadshow Europe 2026. The event will bring together compliance leaders, industry experts and members of the MCO customer community for a full day of practical insights, discussion and networking. The agenda will explore the future of compliance, artificial intelligence, evolving regulatory expectations, scalable supervisory workflows and emerging risks across personal trading, digital assets and market abuse. Optima looks forward to contributing to the discussion and connecting with compliance professionals navigating the industry’s evolving regulatory and operational challenges.

Upcoming Events

The New Cayman AML Independent Audit Requirement

VIRTUAL WEBINAR | OCTOBER 14, 2026 | 11:00–11:30 AM ET | [LEARN MORE](#)

Optima Partners and NAV Fund Services will host a practical webinar on the new independent audit requirement under Section 12 of CIMA's AML Rule. Optima Partners' Priya Roy and Sani Jackson and Director Jocelyn Spencer, will be joined by Anna Dedio, General Counsel at NAV Fund Services, to discuss which Cayman vehicles are affected, auditor independence, the role of fund administrators, audit frequency and what firms should document or file with CIMA. The panel will also consider how the requirement sits alongside the SEC and FinCEN's investment adviser AML rule and will close with an open Q&A.

Optima Partners SEC Breakfast Roundtable

LONDON, UK | OCTOBER 15, 2026 | 8:00 AM BST | [REGISTER HERE](#)

Optima Partners will host an exclusive breakfast roundtable examining the evolving SEC regulatory landscape and its implications for UK-based investment managers. Partners Jennifer Duggins, Adam Reback and Greg Worsfold will lead a practical discussion on current examination priorities, areas attracting regulatory scrutiny and the key considerations for firms navigating SEC requirements across borders. Drawing on Jennifer's experience as former Assistant Director and Co-Head of the SEC's Private Funds Unit, alongside Adam and Greg's extensive advisory experience, the session will offer practical perspectives on examination readiness, regulatory engagement and strengthening compliance frameworks. The roundtable will also provide an opportunity for attendees to exchange experiences and discuss emerging challenges with industry peers. Places for this event are limited. Please contact Hap Oakley at hap.oakley@optima-partners.com to register your interest, and we will confirm your seat.

NSCP National Conference

ORLANDO, FL | OCTOBER 25–28, 2026 | [LEARN MORE](#)

Optima Partners is pleased to sponsor the 2026 NSCP National Conference in Orlando, where Partner Jennifer Duggins will be speaking. The conference brings together financial services compliance professionals, regulators and industry leaders for practical discussions on the challenges facing compliance teams. Through educational sessions and peer exchanges, attendees will explore approaches to building effective compliance programs, managing risk and responding to regulatory change. Optima looks forward to sharing its perspective, hearing from fellow practitioners and connecting with compliance leaders throughout the event.

Upcoming Events

Schwab IMPACT 2026

BOSTON, MA | OCTOBER 27-29, 2026 | [REGISTER HERE](#)

Optima Partners is pleased to announce that we will be sponsoring Schwab IMPACT 2026 (“IMPACT”) in Boston. Now in its 36th year, IMPACT is the largest and longest-running gathering of independent registered investment advisers in the United States, bringing together thousands of industry professionals for three days of keynote presentations, educational programming and networking. This year’s conference will explore the trends shaping the future of independent advice, including artificial intelligence, business growth, technology, investment strategy and evolving client expectations. Optima looks forward to connecting with advisers and industry leaders and sharing practical perspectives on the regulatory and compliance priorities affecting the RIA community.

Regulatory Updates

SEC Division of Examinations Issues New Exam Handbook

SOURCE | SEC | [READ MORE](#)

On October 1, 2026, the SEC’s Division of Examinations issued “The SEC Exam Handbook: A Practical Guide on Process and Engagement” (the “Examination Process Handbook”) that covers each stage of an examination from the risk assessment process through to the disposition letter, along with several avenues to provide feedback or ask questions. The Examination Process Handbook also provides registrants with practical tips and helpful resources to prepare for an examination, including an Examination Hotline, and stay current on compliance obligations.

SEC Proposal Would Address How Investment Advisers and Funds Can Custody Crypto Assets Under the Federal Securities Laws

SOURCE | SEC | [READ MORE](#)

On October 1, 2026, the SEC proposed new rules and amendments to provide a tailored framework for the custody of crypto assets for registered investment advisers, registered investment companies and business development companies. The proposed rules and amendments under the Investment Advisers Act of 1940 and the Investment Company Act of 1940 would address current industry practices and update a number of requirements relating to, among other things, financial statement audits for registered investment advisers and broker-dealer custodial services for regulated funds. The proposal would also permit crypto assets to be held in self-custody under certain circumstances and allow the use of state trust companies as custodians for client and regulated fund crypto assets.

Regulatory Updates

SEC Proposes Amendments to Expand Responsible Retailization of Private Markets

SOURCE | SEC | [READ MORE](#)

On September 30, 2026, the SEC announced proposals designed to expand the responsible retailization of private markets. For example, the proposals would: (i) expand the ability of registered investment advisers to receive performance-based compensation from certain categories of clients, including regulated funds, that is calculated on the basis of capital gains or capital appreciation; and (ii) replace existing exemptive orders with an exemptive rules-based framework for regulated closed-end funds to issue multiple share classes. The SEC separately seeks comment on the passage of an accredited investor examination to be developed and administered by FINRA as an additional method for investors to qualify as accredited investors, as well as the potential designation of certain licenses, certifications or other credentials as additional ways for individuals to qualify as accredited investors, including a U.S. certified public accountant (CPA) license and a Chartered Financial Analyst (CFA) charter.

SEC Staff Highlights Private Credit Valuation Expectations

SOURCE | SEC | [READ MORE](#)

On September 28, 2026, SEC Chief Accountant Kurt Hohl and Division of Investment Management Director Brian Daly issued a “Statement on Fair Value Measurement and Disclosure Considerations for Private Assets” (the “Fair Value Statement”) in response to the significant growth in private credit investment within registered fund portfolios. The statement is relevant to all registrants with exposure to private credit assets. The Fair Value Statement includes valuation reminders regarding: (i) the timing and quality of the information used in estimating fair value; (ii), FASB ASC Topic 820 which requires supplementing or adjusting an entity’s own data if it differs from reasonably available information that a market participant would use when pricing the asset to ensure the measurement reflects a market-based perspective; and (iii) establishing robust calibration practices, including periodic reassessment of whether model outputs remain consistent with available market information. The Statement also provides private credit disclosure reminders regarding: (i) FASB ASC Topic 820 which establishes specific disclosure requirements for recurring Level 3 fair value measurements, including quantitative information about significant unobservable inputs used in the valuation; (ii) U.S. GAAP and Regulation S-X which provide requirements for disclosing types of investments, industry and geographic region, and certain asset characteristics such as interest rates; and (iii) the application of net asset value (“NAV”) as a practical expedient to estimate the fair value of an investment in another entity using NAV reported by that investee, provided certain conditions are met.

Regulatory Updates

FCA Consults on Transition to New Transaction Reporting Regime

SOURCE | FCA | [READ MORE](#)

On October 2, 2026, the FCA published CP26/34, proposing implementation guidance, transitional provisions and consequential Handbook amendments for the replacement UK MiFIR transaction reporting regime established by PS26/15. Comments are due by November 6, 2026; the FCA also plans to consult on a Transaction Reporting User Pack in Q1 2027, ahead of the new rules taking effect on April 3, 2028. Investment managers that submit transaction reports directly or through approved reporting mechanisms should assess the draft schemas and validation rules against their systems, vendor arrangements and testing plans.

ESMA Clarifies Access to Third-Country Central Securities Depositories

SOURCE | ESMA | [READ MORE](#)

On October 7, 2026, ESMA stated that EU market participants should not be prevented from accessing third-country central securities depositories while legislation extending the existing transitional regime is finalised. The current transition expires on January 17, 2027, and ESMA noted that both the Council and European Parliament support an extension, although legislative action remains necessary. Investment managers should identify custody, settlement and issuance arrangements that depend on third-country CSD services and maintain contingency plans until the extension is formally adopted.

FCA Proposes Fairer Redemption Terms for Funds Investing in Illiquid Assets

SOURCE | FCA | [READ MORE](#)

On October 8, 2026, the FCA published CP26/35, proposing minimum redemption terms for Non-UCITS Retail Schemes that invest at least 50% of their property in inherently illiquid assets. Responses are due by December 11, 2026, with final rules expected during the first half of 2027. Authorised fund managers should identify affected funds and evaluate whether redemption periods, prospectuses, dealing processes, distribution arrangements and wrapper eligibility would need to change.

Regulatory Updates

ESMA Sets Supervisory Expectations for Services Involving Unauthorized Stablecoins

SOURCE | ESMA | [READ MORE](#)

On October 8, 2026, ESMA issued an opinion directing national competent authorities to ensure that MiCA-authorized crypto-asset service providers cease providing EU client services involving unauthorized asset-referenced tokens and e-money tokens. Firms should prevent new acquisitions or increases in exposure and remediate existing positions by January 8, 2027, with interim services limited to activities necessary for an orderly exit or safekeeping. MiFID investment firms, AIFMs and UCITS managers providing crypto-asset services under MiCA Article 60 should review token-screening controls, client terms, portfolio exposures and third-party platform arrangements.

Hong Kong SFC Shares Updates with Securities Industry on Scam Prevention and Cybersecurity

SOURCE | SFC | [READ MORE](#)

On September 28, 2026, the SFC hosted a Brokers' Forum titled "Defend Your Business, Outsmart the Scammers" for more than 600 industry participants to share the latest supervisory observations and regulatory updates on cybersecurity and anti-scam measures. The forum featured a panel discussion on joint actions against financial scams, including emerging scam typologies and approaches to prevention and regulatory focuses. It also included a presentation by the Cyber Security and Technology Crime Bureau of the Hong Kong Police Force on strengthening cyber resilience in the brokerage sector, and a briefing by the SFC on its anti-scam outreach initiatives. The SFC stated that it will continue its regular dialogue with stakeholders to examine the implications of technological advancement and associated risks for the securities industry, promote information sharing, and raise industry awareness of scam-related risks.

Regulatory Updates

Singapore MAS Guidelines on Artificial Intelligence Risk Management for Financial Institutions

SOURCE | MAS | [READ MORE](#)

On October 7, 2026, MAS published the “Guidelines on Artificial Intelligence (AI) Risk Management,” setting out its supervisory expectations for financial institutions (FIs) on AI risk management. The Guidelines cover AI oversight, key AI risk management systems, policies and procedures, AI life cycle controls, and AI capability and capacity. They apply to all forms of AI, including Generative AI and AI agents. On a group basis, they apply to locally incorporated FIs that are subject to consolidated supervision by MAS or own critical information infrastructure. FIs should implement the Guidelines in a manner proportionate to the size and nature of their activities and the materiality of their AI risks. The board and senior management are expected to oversee AI risks, address them within the FI's risk appetite framework, and ensure adequate AI understanding, accountability and resources. FIs should establish systems to identify AI use, maintain an AI inventory, and assess the risk materiality of each AI use case. FIs may apply basic AI governance policies and procedures where poor performance or unavailability of AI tools is unlikely to have a material adverse impact. Examples include using AI to draft emails or summarize internal documents. FIs should apply controls proportionate to risk materiality across the AI life cycle. These cover data management, transparency and explainability, fairness, human oversight, third-party AI management, evaluation and testing, technology and cybersecurity, pre-deployment reviews, post-deployment monitoring and change management. High-risk AI use cases should have contingency plans and formal independent validation before deployment. The Guidelines take effect on October 7, 2027. FIs may meet the expectations on AI oversight and key AI risk management systems from that date, and those on AI life cycle controls and AI capability and capacity by October 7, 2028.

UAE ADGM: Registration Authority Consultation on Proposed Strata Regulations 2026

SOURCE | ADGM | [READ MORE](#)

The ADGM Registration Authority has issued Consultation Paper No. 4 of 2026 inviting feedback on proposed Strata Regulations 2026, with the consultation closing on October 22, 2026. The materials include the proposed Regulations and model articles of association and were last updated on October 1, 2026. This is a Registration Authority rather than FSRA matter and carries no financial services obligation, so it is recorded here for completeness. It is relevant mainly to firms holding ADGM real property interests, and to advisers supporting them, who should note the short response window. The Registration Authority also closed its consultation on the proposed Undeveloped Commercial Land Regulations 2026 on October 4, 2026.

Regulatory Updates

UAE ADGM FSRA: Consultation Paper No. 5 of 2026 Proposes DeFi Risk Management Guidance

SOURCE | ADGM FSRA | [READ MORE](#)

The FSRA has published Consultation Paper No. 5 of 2026 seeking views on proposed DeFi Risk Management Guidance, with the consultation open until November 30, 2026. The materials, including the proposed guidance as an attachment, were posted to the ADGM public consultations page and last updated on October 6, 2026. The paper continues the FSRA's engagement with decentralised finance that began with Discussion Paper No. 1 of 2022 and sits alongside its existing virtual assets, staking and fiat-referenced token frameworks. Managers running digital asset strategies, and Authorised Persons with protocol-level or DeFi counterparty exposure, should read the draft against their current risk frameworks and consider responding. Guidance of this kind often establishes supervisory expectations before any rule change follows. The consultation period provides firms with an opportunity to comment before the guidance is finalized.

UAE DFSA: Four Impersonation Alerts in Six Days, Two of Them Targeting Recruitment

SOURCE | DFSA | [READ MORE](#)

Between September 24 and September 29, 2026, the DFSA published four alerts, all within its Regulator or Authority Impersonation category: fraudulent recruitment communications impersonating the DFSA on September 24; the impersonation of DFSA-authorized XTB MENA Limited and false claims of DFSA regulation by an entity trading as Fin, both on September 25; and a DIFC firm impersonated in an employment scam on September 29. Firms should screen client, counterparty and introducer records against the named entities, verify asserted regulatory status against the DFSA Public Register, confirm that recruitment correspondence issues only from controlled domains, and give HR a defined escalation route into compliance.

Enforcement Actions

SEC Seeks Final Judgment Against Former Western Asset Co-CIO

SOURCE | SEC | [READ MORE](#)

On October 6, 2026, the SEC sought court approval of a consent judgment imposing a \$3 million penalty, anti-fraud injunction and officer-and-director bar against former Western Asset co-CIO Kenneth Leech. The action underscores individual liability risks for delayed trade allocations and reinforces the need for pre-trade methodologies, timestamp testing and surveillance of first-day performance disparities.

SEC Charges Crypto Platforms in AI Trading Frauds

SOURCE | SEC | [READ MORE](#)

On September 29, 2026, the SEC filed complaints against four entities accused of using fake AI trading products, social media and false regulatory claims to obtain more than \$15 million. Investment managers should maintain procedures for detecting and responding to impersonation, fraudulent websites and misuse of SEC filings bearing their names. The entities formed WhatsApp group chats where they gained investor trust by impersonating investment professionals and issuing supposed AI-generated trading “signals” or tips claiming to produce large profits. The entities also falsely claimed they were registered investment advisers with the SEC. The SEC’s Office of Investor Education and Assistance has issued investor alerts warning investors that fraudsters may use popular group chats or claim to be officially registered with the SEC to lure investors into scams. The SEC encourages investors to use Investor.gov to check the background of anyone offering or selling them an investment.

SEC Fines Zoe Financial Over Referral Conflicts

SOURCE | SEC | [READ MORE](#)

On September 28, 2026, the SEC fined Zoe Financial \$450,000 for failing to disclose economic incentives affecting adviser referrals and for making misleading statements about its matching process. Zoe Financial operated a referral service which used an algorithm to match third-party investment advisers in its network with individuals seeking a recommendation for an investment adviser. Zoe Financial salespeople typically would then follow up with individuals who did not schedule a meeting with one of the matches generated by the algorithm, and in ensuing conversations, salespeople often recommended additional advisers to the client, beyond the recommendations generated by the algorithm.

Enforcement Actions

Upper Tribunal Upholds Crispin Odey Ban and Financial Penalty

SOURCE | FCA | [READ MORE](#)

On October 1, 2026, the FCA announced that the Upper Tribunal had upheld its prohibition of Crispin Odey and all five findings that he lacked integrity, while reducing his financial penalty from £1.83 million to £1.53 million. The FCA issued its Final Notice on September 30, 2026. The Tribunal found that Odey had obstructed an internal disciplinary process by dismissing the firm's executive committee and had lacked candor in dealings with the firm, clients, investors and the FCA; the FCA issued its Final Notice on September 30, 2026. Investment managers should ensure that founders, controllers and senior managers cannot interfere with internal investigations and that fitness and propriety assessments address misuse of authority, workplace conduct and regulatory candor.

FCA Prohibits Former Certified Person Following Fraud Conviction

SOURCE | FCA | [READ MORE](#)

On October 1, 2026, the FCA issued a Final Notice prohibiting former certified person Joseph Molloy from working in regulated financial services after his conviction for sustained rail-fare fraud. Molloy had used false identities and accounts to evade £5,911 in fares over at least 740 journeys and received a suspended prison sentence on February 17, 2026. The action demonstrates that dishonest conduct outside the workplace can be directly relevant to fitness and propriety, so investment managers should ensure annual certification assessments and escalation procedures capture criminal investigations, convictions and other credible evidence of off-duty dishonesty.

Enforcement Actions

Hong Kong SFC Reprimands and Fines Zheng Da International Financial Holding Limited HK\$7 Million and Suspends its Responsible Officer for Regulatory Breaches

SOURCE | SFC | [READ MORE](#)

On September 29, 2026, the SFC reprimanded and fined Zheng Da International Financial Holding Limited (Zheng Da) HK\$7 million for failures in complying with anti-money laundering and counter-financing of terrorism (AML/CFT) and other regulatory requirements between December 1, 2021, and September 30, 2023, and suspended the license of its responsible officer, Mr. Zhong Hao, for seven months from September 28, 2026, to April 27, 2027. The SFC found that Zheng Da did not conduct any due diligence or testing on the customer supplied systems used by 160 clients for placing futures orders, and was therefore unable to properly assess and manage the money laundering and terrorist financing (ML/TF) and other risks associated with their use. Additionally, the amounts and frequency of deposits into eight client accounts were incommensurate with the clients' declared financial profiles, and Zheng Da failed to demonstrate that it had conducted proper enquiries on these deposits. Zheng Da also failed to put in place an effective ongoing monitoring system to detect suspicious trading patterns, including 176 instances in which buy and sell orders for the same futures contracts were placed by the same client within the same second and at the same price. The SFC considers that Zheng Da's failures were attributable to Zhong's failure to discharge his duties as a responsible officer and a member of senior management.

Singapore MAS Enforcement Report 2025/2026

SOURCE | MAS | [READ MORE](#)

On October 7, 2026, MAS published the Enforcement Report 2025/2026, covering the period from January 1, 2025, to June 30, 2026. The report highlights key enforcement outcomes alongside MAS' broader efforts to uphold fair and orderly financial markets, deter misconduct, and protect consumers and investors. The report covers enforcement achievements and statistics, key observations from enforcement cases, surveillance capabilities and early intervention, enforcement in the evolving equities market landscape, and international cooperation.

Enforcement Actions

UAE DFSA Fines Vault Wealth Limited USD 109,200 for Carrying on Unauthorized Financial Services

SOURCE | DFSA | [READ MORE](#)

On October 1, 2026, the DFSA announced that it had fined Vault Wealth Limited USD 109,200 for carrying on unauthorized financial services in the DIFC. The practical reminder is that a DIFC commercial license is not a Financial Services Permission, and that the perimeter is actively policed rather than left to self-assessment. Firms should confirm that every activity carried on from a DIFC entity falls within the scope of the permission held, that any reliance on an exclusion is documented and current, and that websites, pitch materials and LinkedIn descriptions do not describe activities beyond that permission. Group structures in which an unregulated DIFC affiliate supports a regulated entity deserve particular attention, since that is where perimeter drift usually starts.

Crypto Corner

CFTC Initiates Rulemaking to Establish Comprehensive Crypto Asset Market Framework

SOURCE | CFTC | [READ MORE](#)

On October 5, 2026, the CFTC published an Advance Notice of Proposed Rulemaking (“ANPRM”) seeking public input on establishing a comprehensive regulatory framework for certain retail crypto asset transactions. The initiative focuses on transactions governed by Section 2(c)(2)(D) of the Commodity Exchange Act, including certain leveraged, margined or financed retail commodity transactions involving crypto assets. The CFTC is considering measures to prevent abusive market practices, clarify crypto-specific compliance expectations, and establish a specialized registration category for designated contract markets operating as crypto asset markets. The ANPRM represents a formal step toward developing tailored federal oversight of these transactions, although specific regulatory requirements remain subject to further rulemaking and public comment.

Crypto Corner

FinCEN Withdraws Proposed Cryptocurrency Mixing and Unhosted Wallet Reporting Rules

SOURCE | FINCEN | [READ MORE](#)

On October 5, 2026 FinCEN announced the withdrawal of two proposed rules that would have imposed additional reporting and recordkeeping requirements on financial institutions handling certain cryptocurrency transactions. The first proposal, introduced in 2020, would have established enhanced reporting, customer identification, and recordkeeping obligations for transactions involving unhosted cryptocurrency wallets, while the second, introduced in 2023, sought to impose special reporting measures on convertible virtual currency mixing transactions. FinCEN stated that the withdrawals followed consideration of public comments and reflected efforts to develop more appropriately tailored digital asset regulations. The decision eliminates both pending proposals without removing existing Bank Secrecy Act obligations, while FinCEN indicated that it would continue monitoring cryptocurrency mixing activity for potential illicit-finance risks.

Treasury Establishes Procedures for State Stablecoin Regulation Under GENIUS Act

SOURCE | U.S. TREASURY | [READ MORE](#)

On September 30, 2026 the U.S. Department of the Treasury issued an interim final rule establishing procedures for reviewing state regulatory frameworks under the Guiding and Establishing National Innovation for U.S. Stablecoins (“GENIUS”) Act. The rule outlines how state payment stablecoin regulators must submit certifications demonstrating that their regulatory frameworks are substantially similar to federal standards, allowing qualifying issuers with no more than \$10 billion in outstanding payment stablecoins to operate under approved state supervision. It also establishes procedures for annual recertification, regulatory reviews, and appeals, providing a framework for coordination between federal and state regulators.

Leadership & Development

Leading for Impact: How Transformational Leaders Turn Vision Into Lasting Results

DR. SHARON H. PORTER | FORBES | [READ MORE](#)

Transformational leaders consistently demonstrate five practices that move organizations from functioning to flourishing: (1) Lead with clarity and purpose. High-impact leaders help people understand not only what the organization is trying to accomplish, but also why it matters and how their contributions connect to the larger mission; (2) Move from directing people to developing people. One of the most important transitions a leader can make is moving from being the person with all the answers to becoming the person who develops the capacity of others; (3) Build a culture of trust and accountability. Trust gives people the courage to grow. Accountability gives growth direction. In business, it may mean allowing teams to innovate while remaining accountable for outcomes. (4) Understand that your behavior creates culture. Organizations rarely become what leaders say they value. They become what leaders consistently model, reinforce, reward and tolerate; and (5) Measure what matters. Revenue and profitability matter, but so do employee engagement, customer experience, talent development, retention and innovation. Effective leaders examine both leading indicators and lagging indicators.

USEFUL LINKS:



View SEC News & Notices [here](#)



View FINRA site [here](#)



View NFA News & Notices [here](#)



View FCA site [here](#)



View SFC news and updates [here](#)



View DIFC site [here](#)



View MAS news and updates [here](#)



View ADGM site [here](#)