

February 2026 Exam - J07 Supervision in a regulated environment

Question Number	Syllabus learning outcomes being examined	
1.	1.4	The knowledge and skill requirements of a manager and the competencies displayed;
2.	1.5	Appropriate methods of control and monitoring;
3.	2.2	Change management and the application of Kotter's eight step change model;
4.	3.1	The key methods of communication;
5.	4.4	The 'fit and proper' regulatory requirements;
6.	4.1	The relationship of recruitment to business needs and elements of employment contracts;
7.	5.2	The four stages of the training cycle;
8.	6.1	The key features and applications of a coaching process, e.g. the GROW and PESOS models;
9.	6.3	The key features of assessing performance;
10.	7.1	FCA Principles for Businesses, code of conduct (COCON) and their application to regulated activities;
11.	7.4	Financial crime prevention and data protection legislation and regulations;
12.	8.1	How individual and corporate objectives are set;
13.	8.6	Career planning and development, talent management, competency based development.
14.	9.1	Key elements of management information, linking management information to evidence a firm delivers good customer outcomes;
15.	10.5	Relevant aspects of the law on equal opportunities, discrimination, disability and human rights.