

Compliance Manual

A Central Location For Your
Compliance Needs

**NEW LITE VERSION
AVAILABLE**



OK, So Why Does Our Firm Need a Compliance Manual?

For anyone who has been in the UK financial services industry for any more than a year, will know that one of the first documents that they have to read and attest to having done so, is the Company Compliance or Operational Manual.

Although in the UK the Compliance Manual is **not a regulatory requirement ... it is a regulatory expectation**. This is because there are a number of elements that the regulators not only expect to be documented, but also expect, within a centralised document or system, somewhere that explains to staff and external reviewers, a high level, rationale behind the company's strategy, ethos and how they intend to manage their risks. This would clearly be best summarised in a regulatory operational or Compliance Manual.

As bought by IFAs, Private Banks, GI Brokers, CCA Finance, Payment Providers, Portfolio and Asset Managers and others!

The Compliance Manual is written in simple English that enables your Senior Management as well as Advisers and Administrative Staff to understand what the regulators rules mean in practice and how you apply them to achieve and maintain compliance.

Advertising for New Business
Anti-Money Laundering
Breaches, Discipline & Enforcement
Bribery, Facilitation and Unethical Payments*
Business Continuity*
Client classification*
Company introduction and areas of business
Company's compliance structure
Complaints handling & procedure*
Complaints Sample Logs (General, EONWD, RFCs)*
Conduct Risk
Conflicts of Interest
Controlled Functions and Governance
Customer Assets*
Data Protection
Data Protection & Employees Rights
Dealing with Customers
FCA/PRA Principles for Business
Financial Promotions
High Level Regulatory Requirements
Inducements/Gifts and Entertaining*
Introduction and responsibilities of staff
Market Abuse & Insider Dealing*
Notifications to the FCA/PRA
Outsourcing
Principles & Code of Practice for Approved Persons
Record Keeping
Regulatory environment and Scope of permissions overview
Remuneration
Risk assessment
Senior Management Systems and Controls
Senior Staff/Management listing
Specific Permissions for company
Table of Contents
Terms of Business*
Training & Competence
Treating Customers Fairly (TCF) – Overview*
Treating Customers Fairly (TCF) – Application*
Version Control log*
Whistle-blowing

Our Template Compliance Manual has over 90 pages of areas that are best concisely explained or stated in this central reference point in a logical and cumulative layout.

You get a Fully Customisable Document with an editable Cover Sheet and Fully Editable Contents with a list of specific highlighted areas for you to make amendments appropriate to your company setup.

The content of your Compliance Manual has to be relevant and accurate as well as reader friendly.

We do not update the manual and dictate to you what you should update (as it may not be relevant or pertinent to your business model) and therefore we do not charge update fees. We do not sit down and write your manual from scratch (an exercise that is expensive in both cost and management time).

Plus an extra section with hyperlinks to current rules and legislation, categorised for ease of your reference

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<http://goo.gl/io3rdt>