FREE POLICIES?

COMPLIANCE CONSULTANT
020 7097 1434

At Compliance Consultant we have a great deal of experience and knowledge of expected regulatory levels of governance and business management. Appointed as a Skilled Person in 2012, the FSA (now FCA) were satisfied that we had sufficient knowledge and understanding of the handbook and its application to differing scenarios.

Good governance is the foundation of any business and this extends from the basic policies, procedures and manuals through board and committee terms of reference and even regarding the structure of arrangements so that they are all appropriately linked and are relevant to the business.

In many of our interventions, we have found that policies and various procedures either didn't relate (not updated), were not embedded (not applied) or in reality didn't physically exist, often to the surprise of senior management.

We will review your governance arrangements *(in the strictest confidence)* for a Fixed Price* and, if there is a policy, Terms of Reference or manual we recommend you should have we will provide them free of charge and provide you with written recommendations for any other changes.**

The list of documents is on the reverse. It is Your Responsibility To Ensure That Any Documents Are Appropriately Amended.

* From £2, 000. For up to 10 CF30s £2,600 for 11 to 20 CF30s

** Up to a maximum of 3 documents – Additional documents will be available for purchase.

Policies and TOR as provided for sale on http://fcaapplicationgovernance.com

THE RIGHT GOVERNANCE?

On discussing future change to financial services, from an FCA perspective, "… we have not prescribed all responsibilities. Nor have we prescribed how they should be allocated. Nor the governance arrangements firms should have in place. Nor how firms and individuals should make decisions.

So ultimately the responsibility here falls to firms and the individuals running them to work out issues for themselves in a way which is consistent with their business."

Tracey McDermott, Acting Chief Executive, FCA, *delivered at the City & Financial conference on* ***Personal Accountability in the Financial Services Industry****, 2 December 2015*

FREE POLICIES?

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List of Template Policies & ToRs

- ✓ Compliance Manual and amendment guide – over 90 pages
- ✓ Anti-Bribery & Corruption Policy and Assessment Toolkit
- ✓ Anti-Fraud Policy
- ✓ Anti-Money Laundering & Counter Terrorist Financing Policy
- ✓ Conflict of Interest Policy
- ✓ Data Protection Policy
- ✓ Electronic Communications Policy
- ✓ Expenses Policy
- ✓ Financial Promotions Policy
- ✓ IT Acceptable Use Policy
- ✓ IT Security Policy
- ✓ Outsourcing Policy
- ✓ Privacy Policy (for websites etc)

Board Terms of Reference

- ✓ Investment Committee Terms of Reference
- ✓ Audit & Risk Committee Terms of Reference
- ✓ Risk & Compliance Committee Terms of Reference

Web: http://www.complianceconsultant.org
Email: info@complianceconsultant.org

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IN SUPPORT OF HELP for HEROES

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Amendment to any policy, ToR or Manual can be arranged at additional cost.

Policies and TOR as provided for sale on http://fcaapplicationgovernance.com