



OUR SERVICES

WHAT WE DO

Compliance is an important and essential element of running your business. We understand that finding the right solutions for your business that are tailored to the way you are building your proposition is the key to developing good relationships.

We don't want to be seen as the 'business prevention department' but more as a trusted partner that takes the time to listen to you and the long term plans you have for your firm and how you deal with your clients.

Read on to find out more about how we can help you manage your compliance requirements as a regulated firm.

Supporting Your
BUSINESS

New Business Monitoring and File Review

We offer a periodic onsite review of new business to confirm the completeness of the advice process. The review will include:

- confirmation of sufficient information on the file to support the advice given to the client;
- a focus on completeness of the factfind, the associated file and meeting notes; and
- product research and the recommendations within the suitability letter or report.

Complaints Handling

Against your firm:

We will conduct a review of the advice given to the client and prepare a report based on the issues raised by the complainant giving our opinion as to whether the complaint can be defended. We will then prepare the final response to the client which will be sent on your letterhead and where necessary prepare responses to the Financial Ombudsman Service (“FOS”).

In relation to previous advice given to a client:

In the event your firm identifies potentially poor advice from a client’s previous advisory firm, we will review the client’s documentation and request documents pertinent to the advice from the former advisory firm. Following a thorough review of all documentation we will give our opinion as to the likelihood of a successful complaint. We will write to the former advisory firm outlining the grounds for the complaint and refer it to the FOS where an unsatisfactory final response has been received.

Training & Competence

We will:

- review the existing T&C scheme and recommend changes where gaps are identified;
- carry out periodic one-to-one supervisory meetings with advisers in relation to the Key Performance Indicators identified in the scheme;
- provide written reports of these meetings; and provide development plans where appropriate and discuss further training where relevant.

Client Assets and Client Money

Where firms have permission to hold client money we will annually review the CASS Resolution Pack in compliance with CASS 10 and the quarterly review of compliance with the provisions of CASS 6 and CASS 7.

General Compliance Support

- We provide general support and guidance including:
- preparing applications to the FCA for controlled function holders;
- assisting the firm prepare for a regulatory visit;
- ensuring T&C records are accurate and up to date and;
- financial promotion reviews.



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