



COMPLIANCE MONITORING

Data Protection: The company stores data on one pc in the office

Approved Persons

Your responsibility: The owner complies with both the letter and the spirit of all regulatory requirements and high standards of market conduct
Conducts all customer interaction in accordance with the FCA's principles of business

Customer complaints The owner is aware of the responsibility regarding a complaint within the guidelines of the FCA policies.

The company uses a complaints book to record all complains

Escalation to a formal complaint from an informal complaint is resolved by the Financial Ombudsmen Service.

Conflict of Interest The company may at some stage have a material interest in a transaction

The owner will be aware of the guidelines set down by the FCA regarding any possible conflict of interest

Management & Control

The FCA requires that firms have in place controls & systems to manage the business

The owner is aware and sufficiently experienced to ensure the sound and prudent management of the firm

Risk Awareness

The owner is aware of the potential risk highlighted by fire, theft and flood
The company has insurance in place to cover potential loss of income
The company uses a hard drive back up to minimise the risk and has in place a back up facility at home to overcome issues of this nature
The contingency plan to use home as a temporary office will be supplemented in due course by using a server located at 63 Kingsdown Park

Money Laundering

The owner is aware of the regulations and has in place an audit trail to ensure compliance

Approved Persons

The owner is the FCA Approved person. He is solely responsible for the control of the business and affairs of the company



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