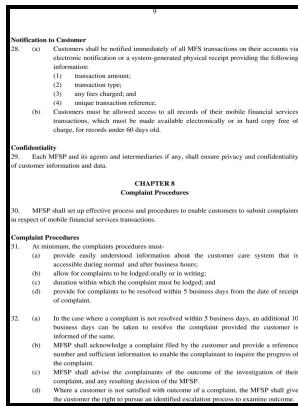


Regulation of the marketing of investment products and services - a policy statement.

Securities and Investments Board - Business marketing



Description: -

Securities and Investments Board.Regulation of the marketing of investment products and services - a policy statement

-Regulation of the marketing of investment products and services - a policy statement

Notes: Cover title.

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Business Regulations in Indonesia

How will you know if you are losing or gaining profit? This template can helpful for the colleges that want to seek international attention. The disclosures must be given when a sales presentation begins, even if the recommendation or sale is being made over the telephone. The FCA has previously expressed concern about consumers moving into drawdown and holding their funds in investments that will not meet their needs.

Legal requirements

We have answered some of the questions most frequently asked regarding current regulatory requirements, and included some key telephone numbers for your use as the requirements change to reflect the evolution of the marketplace. The Interagency Statement addresses: 1 how the location of uninsured nondeposit products sales activities should be distinguished from other retail banking services within a financial institution; 2 training of nondeposit investment products sales representatives; 3 how sales representatives should assess the suitability of uninsured investment products for your customers; 4 compensation arrangements for bank employees for direct or indirect sales activities; 5 use of depositor information in nondeposit investment product sales programs; 6 what must be disclosed about the uninsured investment products you are selling; and 7 when the required disclosures must be made. The board may also wish to adopt a policy applicable to directors, officers, and employees restricting or prohibiting the receipt of gifts, gratuities, or travel expenses from approved securities dealer firms and their representatives.

Government Regulations: Do They Help Businesses?

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Regulation

The strengthened the Fed's power over financial firms. Due to the current situation concerning the COVID-19 pandemic, NAIC staff are working remotely and are not shipping products or taking phone calls. Treasury bonds so they could quickly sell them if another financial crisis loomed.

FDIC: Uninsured Investment Products: A Pocket Guide for Financial Institutions

AIFMs and UCITS management companies and investment firms carrying out portfolio management and financial advisers firms authorised under MiFID to give investment advice and credit institutions in relation to financial products e.

FCA proposes rules on investment pathways and other measures to improve retirement outcomes for consumers

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