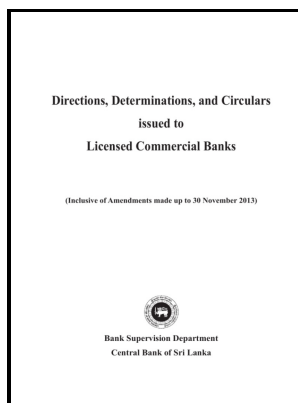


Conduct of business rules, clients money regulations, financial resources rules, financial statements rules - further sundry proposed amendments : consultative paper.

The board - Regulation of Financial Accounting and Reporting: the Pro



Description: -

-Conduct of business rules, clients money regulations, financial resources rules, financial statements rules - further sundry proposed amendments : consultative paper.

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Notes: Cover title.

This edition was published in 1988



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Five Year Review Committee Request for Comments

Inspection of Agencies and Entities.

Five Year Review Committee Request for Comments

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Five Year Review Committee Request for Comments

Unless extended, the TPR lasts until 31 December 2023 although for individual firms within the regime their temporary permission will likely cease before then, depending on the status of their applications for full authorisation or registration — firms which passported under Schedule 3, FSMA will be given a timeframe by the FCA by which they must apply for authorisation.

Retail finance round

The typical post-crisis outcome is therefore a focus on preventative regulation — and in particular regulation aimed at preventing the previous

financial crisis from happening. Finally, this proposal is fully in line with the Security Union Strategy that called for an initiative on the digital operational resilience for financial sector given its high dependence on ICT services and its high vulnerability to cyber-attacks. An advisor who does not keep his or her level of industry knowledge current is an advisor who fails to properly serve their clients and very likely puts their clients at risk.

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