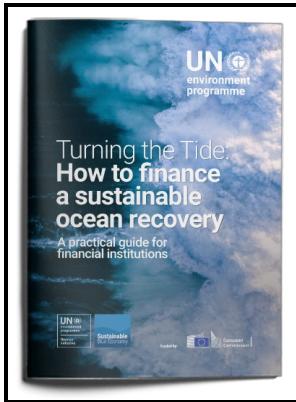


A practitioners guide to the FSA regulation of designated investment business

City & Financial Publishing - Dentons



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SIFA 5.1 FSA Principles

Michael is a partner in Dentons' London-based Financial Services and Funds practice. Clients' assets: A firm must arrange adequate protection for client's assets when it is responsible for them.

British Virgin Islands Financial Services Commission

A public school is financially responsible if its debts and liabilities are backed by the full faith and credit of the state or another government entity.

British Virgin Islands Financial Services Commission

On the other hand, discretionary triggers generally reflect actions or events whose consequences are less immediate and less certain. There is a separate article covering the exemptions under articles 48 and 50A.

SIFA 5.1 FSA Principles

This is provided the firm is carrying on a regulated activity falling with the DPB arrangements and the communication is to someone who has already engaged the firm to provide professional services.

Financial Promotions

The equity ratio represents a measure of its capital resources and ability to borrow. This exclusion would also apply to a request from a client to provide the name of an authorised firm to whom the client can be introduced. Similarly, internal transfers of cash among accounts are not considered revenue because they are not an inflow of cash to the school.

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