

ATEB SERVICES

Summary

- ✓ Remote or Local Compliance Support
- ✓ Discounted software
- ✓ Attend FSA Visits
- ✓ Investigations / Due diligence
- ✓ Part IV / Merger & Acquisition work
- ✓ Compliance Briefings
- ✓ Compliance Spot Checks
- ✓ Checking of Financial Promotions
- ✓ Adhoc File Checks
- ✓ Supplementary Risk Based File Checks
- ✓ Pro-Active Record Keeping Checks
- ✓ Initial & Ongoing Audit
- ✓ Implementing Audit Actions
- ✓ Develop Compliance Plan
- ✓ Training & Competence Plan
- ✓ Develop Business Continuity Plan
- ✓ Develop Risk Mitigation Plan
- ✓ Develop Risk Management Plan
- ✓ Develop Treating Customers Fairly Plan
- ✓ Develop Conflicts of Interest Policy
- ✓ Produce Research Documents
- ✓ Conduct Training Reviews (CPD)
- ✓ One to One Reviews (Support)
- ✓ Annual Assessments (Support)
- ✓ Approved Persons Review (Support)
- ✓ Conduct Training Needs Analysis
- ✓ Prepare Key Development Plans
- ✓ RMAR Completion & Submission (Assistance)
- ✓ Complaints Return (Assistance)
- ✓ Standing Data Return (Assistance)
- ✓ Outsourced Complaint Handling
- ✓ Bespoke Systems Design
- ✓ Produce New Personalised Client Documentation (e.g. IDD, TOBA)
- ✓ Variation of Permission
- ✓ Variation of Controlled Function
- ✓ Variation of Standing Data
- ✓ Formal Training
- ✓ Role-plays / Coaching Feedback
- ✓ Supervisor Training
- ✓ Compliance Procedures Training
- ✓ Access to Centralised Investment Seminars
- ✓ Access to Centralised Mortgage Seminars

