

## RWA Quick Compliance Health Check

Your answers to the following questions will determine whether or not there is a need for you to take action to ensure compliance with FSA regulatory requirements.

	Yes / No
1. Has your compliance manual been updated in the last 12 months?	
2. Have you reviewed your Compliance and Risk (SYSC) plans in the last 12 months?	
3. Do you have written procedures for every area of your business?	
4. Have you performed a GAP analysis in respect of your Treating Customers Fairly (TCF) strategy?	
5. Has this been reviewed in the last 12 months?	
6. Can all staff explain how TCF applies to your firm?	
7. Do you have a written procedure for Financial Promotions?	
8. Has your Complaints Procedure been reviewed/updated in the last 12 months?	
9. Do all your staff have a documented record of their training?	
10. Is there a documented Conflicts of Interest policy for your firm?	
11. Do you have written Client Money / Accounts procedures?	
12. Do you have a list of the insurers you deal with and have you checked their financial ratings in the last 12 months?	
13. In respect of Commission & Capacity Disclosure guidance, do you have a documented procedure to manage this?	
14. Do you have a written Training & Competence (T&C) scheme?	
15. Do you perform regular staff competency testing and review?	
16. Are all staff subject to annual "Fit & Proper" checks?	
17. Is there a documented Recruitment and Induction procedure for your firm?	
18. Do you have a written Data Security Policy?	
19. Have all staff been trained in the requirements of the Proceeds of Crime Act 2002?	
20. Are you satisfied with your current level of compliance resource and support?	

**Additional Information including firm name, address and contact details**

