

### DPB Committee – Compliance Plan Requirements

<b>Business Activity</b>	
Identify all areas of regulated and unregulated activity your firm intends to carry out in the coming year and indicate the likely scale of these activities.	
Are there any new services (regulated or unregulated) that you plan to introduce or existing services that you anticipate will significantly change in scale.	
Please indicate the number of clients who will receive regulated advice.	
Identify the types of investments you will advise on.	

Explain how your firm intends to promote its services to current and potential clients and what special arrangements will apply in respect of any regulated activity (service).	
<b>Risk Management</b>	
Identify any significant risk factors faced by your business both external, such as competitors, and internal, such as systems and controls.	
Explain how you will monitor and control risks within your business.	
How might these risks affect regulated activities.	

<b>Compliance Arrangements</b>	
<p>Please outline your arrangements for complying with the DPB rules including the resources available, procedures and controls that exist.</p> <p>Please describe your compliance monitoring arrangements including what checks will take place, who will do them, how often and what records will be kept.</p>	
<p>How will you ensure that all staff conducting regulated activities remain competent</p>	
<p>Please explain how your firm will continue to meet money laundering requirements.</p>	
<p>How effective do you believe your complaint handling procedures been and do you propose any changes</p>	