

Prepare your firm for the FCA’s requirements on Personal Account Dealing

There are serious concerns about how companies manage Personal Account Dealing, a major concern is the frequency of breaches of PAD policies.

Ask yourself the following questions and you should be able to determine if you are actively managing and monitoring personal account dealing in light of regulatory requirements.



Risk Identification

Are you working on identifying potential risks to the products you trade and mitigating those risks?



Effective Policies

Have you been reviewing your policies, processes, systems, and controls?



Control Framework

Have you included in your control framework the monitoring of trading activity and investigation of potential violations?



Actions

Does your control framework outline what to do in case of violations?



Real-Time Reporting

Are you providing real-time reporting on any suspicious activity?



Confidential Information

Are clients-confidential information kept safe and managed adequately?



Employee training

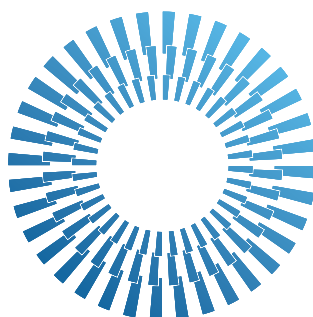
Do your employees understand the firm’s personal account dealing policy and know how to avoid conflicts?

The manual process of monitoring the trading activity can be unnecessarily expensive and time-consuming. Automating this process will save you time and effort.

Want to know how cost-effectively manage personal account dealing?

Contact us today!

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