

# Appointed Representative Checklist

Call us on +44 (0) 20 3457 3181 or  
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## WHAT DO THE FCA EXPECT?

Are you meeting these standards?

1	Consider the impact of ARs on your business model and ability to meet threshold conditions.	<input type="checkbox"/>
2	Put in place an appropriate risk management framework to identify and manage the risks ARs present to your business.	<input type="checkbox"/>
3	Assess and monitor the solvency and suitability of your ARs. This must include the entity and the controllers, directors and managers.	<input type="checkbox"/>
4	Compliant contractual arrangements with ARs in place which clearly set out the scope of activities permitted and provide a suitable basis for effective oversight.	<input type="checkbox"/>
5	Consider whether ARs are fit and proper to deal with customers.	<input type="checkbox"/>
6	Adequate controls over ARs regulated activities for which you have responsibility.	<input type="checkbox"/>
7	Ensure that customers dealing with the ARs are afforded the same level of protection as if they had dealt with you.	<input type="checkbox"/>
8	Controls and oversight to encompass all elements of the ARs activities, including ensuring that the ARs sales processes are compliant.	<input type="checkbox"/>
9	Adequate resources in place to frequently monitor and enforce compliance.	<input type="checkbox"/>
10	Able to demonstrate that you are consistently meeting regulatory requirements so that customers who receive products and services delivered by the ARs are: being treated fairly; buying products appropriate to their needs and requirements; and receiving fair outcomes.	<input type="checkbox"/>



# OUTSOURCE THE AR COMPLIANCE PROCESS, GROW WITH CONFIDENCE

Outsourcing to Compliancy Services allows you to maintain and grow your AR network with confidence.

Managing the process using our innovative web based application evidences the implementation and management of your AR compliance framework for your board and if necessary, the FCA.

