

**BUYTOLET
WORKSHOPS
TWO THOUSAND
AND SEVENTEEN**

CERTIFICATE OF ATTENDANCE

CONTINUING PROFESSIONAL DEVELOPMENT
(5 HOURS)

AWARDED TO

Simon Allen

FOR ATTENDING THE BUY TO LET WORKSHOP ON
3RD OCTOBER 2017 IN WARRINGTON



Kay Leslie
Group Compliance Director

**KEY ACCOUNT
WORKSHOPS
TWO THOUSAND
AND SEVENTEEN**

CERTIFICATE OF ATTENDANCE

**CONTINUING PROFESSIONAL DEVELOPMENT
(2 HOURS)**

AWARDED TO

Simon Allen

**FOR ATTENDING THE KEY ACCOUNT WORKSHOP ON
12TH SEPTEMBER 2017 IN MANCHESTER**



A handwritten signature in black ink, appearing to read 'Kay Leslie'.

Kay Leslie
Group Compliance Director

**DA BUSINESS
CONFERENCES
TWO THOUSAND
AND SEVENTEEN**

CERTIFICATE OF ATTENDANCE

CONTINUING PROFESSIONAL DEVELOPMENT
(5 HOURS)

AWARDED TO

Simon Allen

FOR ATTENDING THE DA BUSINESS CONFERENCE
ON
27TH JUNE 2017



A handwritten signature in black ink, appearing to read 'Kay Leslie'.

Kay Leslie
Group Compliance Director

NACFB

Compliance Services

CONTINUING PROFESSIONAL DEVELOPMENT CERTIFICATE

This certificate together with its accompanying email is evidence of your CPD activity

Development Activity Type: Workshop

Definition of activity type: An interactive presentation by a subject matter expert

Structured or Unstructured Learning? – Structured

Topic of Seminar: Business quality, compliant sales process structures and supervision

Hours Spent: 10am – 4 pm: 6 hours total including working lunch

Date: 7th March 2017

Aim:

The aim is to examine, in a workshop environment, the way in which FCA regulation impacts the way in which you deliver your services to clients, with particular focus on regulated business activity.

Learning Objectives:

By the end of this workshop you will be able:

- To improve the advice quality to clients in practical terms within your firm
- To understand the key steps in a regulated sales process
- To understand what a compliant client file should contain
- To understand how you can control business quality in your firm
- To be able to improve regulatory practices within your firm

Agenda Covered:

- Introductions and workshop objectives.
- The regulatory framework covering client interactions
- Value of structured advice processes
- NACFB Minimum standards for dealing with clients
- Client reports and their purpose
- Documenting suitable advice and research
- Supervising business quality.

**COMPLIANCE
WORKSHOPS
TWO THOUSAND
AND SEVENTEEN**

CERTIFICATE OF ATTENDANCE

**CONTINUING PROFESSIONAL DEVELOPMENT
(2 HOURS)**

AWARDED TO

Simon Allen

**FOR ATTENDING THE COMPLIANCE WORKSHOP
ON 10TH MAY 2017 IN WARRINGTON**

A handwritten signature in black ink, appearing to read 'Kay Leslie'.

Kay Leslie
Group Compliance Director