



COMPLIANCE ASSURANCE REVIEW

Why have a Compliance Assurance Review?

The FAP Compliance Assurance Review will help you understand your level of compliance with the legislation, regulation, Code of Professional Conduct for Financial Advice Services, FAP licence standard conditions, product provider contracts and good conduct obligations.

Strategi undertakes robust and professional Compliance Assurance Reviews as we are aware you may be asked to provide the report to regulators, professional indemnity insurers and product providers.

The review includes:



REVIEW OF FAP POLICIES, PROCESSES & CONTROLS

To ensure the business is doing what it undertook to do as part of its FAP licence or authorised body agreement.



REVIEW OF ADVICE DOCUMENTS AND CLIENT FILES

To ensure the advice is suitable and the FMCA duty obligations are being met.



COMPREHENSIVE REPORT

Providing a detailed report, including recommendations on what may need improving.

CONTACT US FOR MORE INFORMATION

Website: www.strategi.co.nz | Phone 09 414 1300 | Email compliance@strategi.co.nz



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When should I have a Compliance Assurance Review?

Strategi recommends an annual Compliance Assurance Review. In the first year, you may want to complete a review earlier to gain peace of mind that you have adapted to the new regulatory environment and your processes are operating well.

We understand your business is unique, so contact us today to discuss how we can tailor our Compliance Assurance Review to fit your business size and method of operation.

Why choose Strategi?

- ✓ Compliance specialists since 1999
- ✓ Delivered over 1,000 audits and reviews
- ✓ Cost-effective
- ✓ Onsite or remote reviews to suit you
- ✓ National coverage
- ✓ Practical solutions
- ✓ Professional standards
- ✓ Ongoing support



Contact us today

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Strategi, Compliance specialists for over 20 years.