

Approved Persons Regime (Home Finance)	Wednesday, 10 November 2010
	University of Surrey, Guildford

The FSAs move to extend the approved persons regime to the mortgage sector will have a major impact on any firm where individuals advise on, arrange or enter into home finance business. Individuals that give mortgage advice as well as those that arrange mortgages on a non-advised basis will become personally accountable under the proposed new customer function, CF31. The compliance oversight function (CF10) will also be extended to home finance activities.

The near final rules were published in June to give firms time to prepare for implementation. Final rules are due to be published in September 2010.

Workshop objectives

To gain an understanding of the:

- Approved persons regime in relation to home finance (mortgage) activity , including CF10, CF31 and exceptions
- Implementation timings
- FSAs approval process
- Fit and proper test
- Obligations and responsibilities of being an approved person (Statements of principles/ Code of Conduct)

Consider how the new requirements may impact your:

- Systems and controls
- Recruitment process and T&C framework

Who will benefit from the course?

Mortgage advisers, supervisors, senior management including individuals that have (or may have under the new arrangements) compliance oversight responsibilities, individuals responsible for recruitment processes or T&C schemes in relation to home finance activities.

Course duration

10am to 4pm, including lunch.

Course fee: £280 plus VAT

If you are interested in arranging in-house training, please contact Angela Amess:

Email: angelaamess@resolvecompliance.co.uk

Tel: 01483 205003

AToM

Thank you for your interest in this event. To register, please complete and send this form to:
Events, Resolve Compliance Ltd, 2 Church Hill Cottage, Church Hill, Shere, Guildford Surrey GU5 9HJ

Upon receipt of the completed registration form and payment of the delegate fee your place will be reserved and written confirmation sent. This will be by email whenever possible so please ensure you supply your email address on the registration form.
Important: Your place will not be reserved unless full payment of the delegate fee has been received.

Resolve Compliance Ltd does not issue invoices for event bookings; however a VAT receipt will be provided with the booking confirmation. Payment must be made by BACS or cheque.

Approved Persons Regime (Home Finance)	Wednesday, 10 November 2010
	University of Surrey, Guildford

DELEGATE DETAILS	
Title: Mr/Mrs/Miss/Ms/Other :	
Full Name:	
Job title:	
Email:	
Tel:	
Organisation:	
Address:	
	Postcode:

PAYMENT DETAILS	
<input type="checkbox"/> I enclose a cheque for £_____ made payable to "Resolve Compliance Ltd"	
<input type="checkbox"/> BACS payment—Please send a BACS remittance together with a copy of this registration form	
BACS details	
Account name:	Resolve Compliance Ltd
Bank:	HSBC, PO Box 160, 12A North Street, Guildford, Surrey GU1 4AF
Account:	22694018
Sort Code	40-22-26
Reference used for BACS (e.g. delegate's name)	Important: In order that we can match the payment received with your registration, please ensure you quote your name as the reference.
Total amount paid £_____	

Cancellation

All cancellations made in writing 10 days or more prior to the event will be subject to a refund of 50% of the delegate fee. No refund will be made for cancellations made within 10 days of the event. If a delegate is unable to attend, you may send a colleague as a substitute at no other charge. Should Resolve Compliance need to cancel the course for any reason you will have the option of a full refund of the delegate fee or transfer to another event. We shall inform you of any cancellations at least two weeks before the event date.

Data protection

The personal information that you provide will be processed in accordance with the Data Protection Act and used by us to provide you with details of events, publications and training opportunities by post or email. If you do not wish to receive such information, please tick this box