ABC Wealth Management

Agenda for quarterly meeting date

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| **Quarterly management meeting****Attendees****Apologies****Location****Agenda** | **Responsible** | **Comments / Decisions / Actions** |
| 1. Matters arising from previous meeting
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| 1. Matters arising – for review
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| * + MI and KPI's
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| * + 1. Consideration of adequacy of capital resources in place
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| * Clients and service
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| * + 1. Annual Reviews for clients – update on progress
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| * + 1. Complaints in the period
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| * + 1. Clients we declined to deal with
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| * + 1. Clients lost in the period or at risk of being lost
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| * + 1. Review of Clients not on Platform
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| * + 1. Replacement and other high risk business in the period
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| * + 1. Large Gifts to and from clients and introducers in the period
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| * + 1. Consideration of feedback from file reviews
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| * Risk Management and compliance
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| * + 1. Compliance work to do, done and outstanding
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| * Periodic review of key regulatory documents
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| * Licence renewals?
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| * Money laundering issues?
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| * Compliance tasks passed on from Investment Committee?
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| * Due diligence complete and due
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| * Regulatory Staff issues in the period
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| * 1. Joiners, Leavers, staff turnover?
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| * 1. Competency issues?
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| * 1. Staff Training completed?
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| * 1. All SPSs renewed?
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