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