**MANAGEMENT INFORMATION COLLECTION 20\*\***

| **MI** | **Control evidences** | **How often** | **When to do** | **Done** |
| --- | --- | --- | --- | --- |
| **COMPLIANCE** |
| File Reviews (register) | Quality of advice; adherence to process |  |  |  |
| Product Research Reviews (including platform) | Product remains fit for purpose |  |  |  |
| Complaints (register) | Effective complaints management |  |  |  |
| Financial Promotions (register) | Regulations. |  |  |  |
| Execution Only (register) | Management of risk |  |  |  |
| High risk business | Management of risk |  |  |  |
| Annual client review register | Adherence to contractual remit |  |  |  |
| Money Laundering incidence | Regulations |  |  |  |
| Risk profile per transaction register | Proper use of models |  |  |  |
| Client categorisation and service matrix | Adherence to contractual remit |  |  |  |
| **INVESTMENT** |
| Investment fund reviews – portfolio and watch list | Funds under review remain fit for purpose |  |  |  |
| Client fund switch register | Operational control over key process |  |  |  |
| Portfolio performance KPIs (volatility, returns, costs) | Portfolios delivering as expected |  |  |  |
| **OPERATIONS** |
| Clients lost | Client management |  |  |  |
| Global Funds under Advice | Business growth |  |  |  |
| Financial KPIs | Profitability |  |  |  |
| Work In Progress (spreadsheet) | Operational efficiency |  |  |  |
| Ops task monitoring (ex back office) | Staff efficiency |  |  |  |
| **TRAINING** |
| Staff ongoing training (register) | Staff system adherence |  |  |  |
| SPS renewal register | Regulations |  |  |  |
| Adviser 121 completion | Adviser competence |  |  |  |
| CPD register | Adviser competence |  |  |  |
| **CONSUMER DUTY SPECIFIC** |
| File Reviews (register) | Adviser competence, fair treatment of customers, managing client objectives / expectations |  |  |  |
| Complaints (register) | Adviser competence, fair treatment of customers, service satisfaction, managing client objectives / expectations |  |  |  |
| Clients lost | Service satisfaction, fair value, managing client objectives / expectations |  |  |  |
| Annual client review register | Fair treatment of customers, fair value, managing client objectives / expectations |  |  |  |
| CPD register | Adviser competence, fair treatment of customers |  |  |  |
| Vulnerable client register | Fair treatment of customers |  |  |  |
| Survey results | Client understanding of service, managing client objectives / expectations |  |  |  |
| Drawdown clients at risk | Managing avoidance of client detriment, fair treatment of customers, managing client objectives / expectations |  |  |  |