



# Butterworths Financial Services Compliance Manual

*Neville Russell*

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# **Butterworths Financial Services Compliance Manual**

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## **Butterworths Financial Services Compliance Manual** Neville Russell

Butterworths Financial Services Compliance Manual provides a guide in implementing a form of internal control in accounting to ensure compliance with the Financial Services Act of 1986. The manual is organized into 11 parts; each part tackles a specific area of concern in the implementation of the Act.

Part I covers the background of legislation and compliance procedures, and Part II discusses the importance of identifying a client. Part III talks about the conduct of business, while Part IV deals with corporate finance. The subsequent parts cover portfolio review and discretionary management. The book also covers client money regulation, and then discusses central records and control. Compliance role and complaints procedures are also discussed. The last part talks about advertising.

The book will be of great use to accountants, who require references on standardized practice manual.



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