

FSA Audit Programme

(For Mortgage and General Insurance Intermediaries)



The manual consists of five main parts as detailed on the manual contents page.

- The guidance notes summarise the key elements of applicable FSA rules. They include the key points of an MGI audit and guidance on procedures to adopt.
- The example engagement letter provides example wording for a limited company MGI client.
- The sample report provides the wording appropriate for reporting to the FSA.
- The planning section of the programme has been written to ensure auditors plan the audit with the relevant FSA requirements in mind.
- The work programmes focus on compliance with the FSA's High Level Standards and (where relevant) the client money audit requirements for insurance intermediaries.
- The completion section ensures that adequate controls are exerted over the assignment and all relevant FSA rules have been considered.

Training

Whilst no training is needed in order to use the manual, we run a number of complementary specialist courses throughout the year. For details of these specialist courses please contact Michelle Hammond on 0116 258 1200 or visit our website www.mercia-group.co.uk

Costs

The manual costs £195 (£145*).

You can enjoy peace of mind by subscribing to our updating service, which provides you with the assurance that your manual will be updated as needed on a timely basis. The annual update fee is £50 (£45*) per specialist assignment manual and will be invoiced on 1 July each year to cover all updates issued in the subsequent twelve months. New subscribers to SAM will receive all updates between the date of purchase and the next 1 July free of charge. The fee will entitle you to all routine updating, if however, a major rewrite is required due to a substantial change in legislation you may be notified of an additional fee.

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