











## Training Needs

### Test Training Need

Required By	01/03/2007	Completed On
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## **FSA Notifications**

None.

**A**

















## **FSA Notifications**

None.



## Training Needs

### PII updates

<b>Required By</b>	22/03/2006	<b>Completed On</b>	22/03/2006
<b>Authorised By</b>	D. Thomas	<b>Authorised On</b>	17/03/2006
<b>Description</b>	Richard has requested permission to attend a seminar on PII in Manchester on 22/03/06		
<b>Feedback</b>	excellent course and full feedback will be given at our next in house training session after the Easter break		

## FSA Notifications

None.

## Swansea



# **BUSINESS C**

## Plan Details

None.

## Death or illness of a key employee

### Last Review Date

30/11/2006

## Scenario

A key member of staff is lost due to death or illness preventing the smooth running 0.j ( rmne.)Tj /F1 2048 Tf 100 Tz ( )Tj /F2







# CAPITAL RESOURCES REQUIREMENT

**Period: to 2006/02/28**

What is your annual income?		3
Do you hold client money?	Y	
Do you operate a Statutory Trust Account?	N	
Do you operate a Non		





















**Calculation Date: 31/10/**











**Notes:**

1.

# CONFLICTS OF IN

























## Management Action Plan





## Management Action Plan













**ANTI-**





## Management Action Plan

Action: Test Action 1

Priority





## Management Action Plan

# OWNERS





















050 2310 11

Management Action Plan

Action: Action1

Priority 920 2145 Tm 99700 Tz Highy

## RB3

<b>Discovery Date</b>	2006/01/01	<b>Breach Status</b>	Closed
<b>FSA Notified Date</b>			







## Test Complaint 3

## Test Complaint 1



# SALES PERIOD DA

























## Interpretations

None.











## Interp 2781