

The Compliant Client File

Submitted by Krishan on February 28, 2017 - 4:52pm



There are many elements of the client file that are required in order to be compliant. A compliant file is necessary, not only from an industry and regulatory perspective, but it is the advisor's best defence in the event of a complaint or a lawsuit.

Please read the attached powerpoint presentation to learn how to protect yourself in this ever changing industry.

Attachment	Size	Type
THE COMPLIANT CLIENT FILE_ENBC2016.ppt	341 KB	application/vnd.ms-powerpoint
Source URL: https://www.gpfs.ca/bulletins/empire-life/2017-02-28/compliant-client-file		