

Monthly FCA Compliance Report

AR Firm Name: (Insert Name) Month reporting on: (Insert Month)

Firm Details

(Please answer the following questions and provide details where applicable)

1) Since your last report have you changed or intend changing your contact details including: address, telephone number, email address, fax number (if applicable)?	Yes - No
2) If you have answered 'Yes' to the above have you notified EvolveU?	Yes - No - N/A
(If you have answered No to Q2 please provide detail below including the date of when the change will be)	

Financial Promotions

(Please answer the following questions and provide details where applicable)

1) Have all financial promotions that you use (including adverts, website, facebook, twitter, Linked In etc) been approved by EvolveU and a reference number obtained?	Yes - No
2) Have you kept a record of the promotion along with the reference number supplied by EvolveU?	Yes - No
(If you have answered No to either of the above then please provide detail)	

Complaints Handling

(Please answer the following questions and provide details where applicable)

1) Have you received any complaints within the reporting period that relate to how you have handled a claim?	Yes - No
2) If 'Yes' have you informed EvolveU?	Yes - No - N/A
3) Have you received a complaint about any other matter, such as, building work carried out, contractors not turning up etc?	Yes - No
(If you answer 'No' to Q2 and/or Q4 please provide detail about the complaint)	

Accounts Information

(Please answer the below based off the reporting month)

1) Total revenue received from mandated jobs for the reporting month:	£
2) Total revenue received from non-mandated jobs, such as building work for the reporting month:	£
3) Total amount paid away to Introducers for introducing business to you:	£
4) Have you attached a copy of your last months Balance Sheet and Profit and Loss Statement along with this report in an email to EvolveU?	Yes - No
4) Have you provided EvolveU with a copy of your last annual accounts after they have been produced?	Yes - No

Training and Competence

(Please list all training carried out within the reporting month)

1) Please list all training / CPD that you have carried out within the reporting month. We have provided examples below, please delete those not relevant and add any training you have carried out:	
<p>Read News Article relating to Building Work Read an Article relating to the Financial Conduct Authority Read an Article relating to claims Attended a Training Seminar relating to Building Work Attended a Training Seminar relating to insurance claims handling Carried out training through the BDMA relating to Building work</p>	
2) Have you recorded the above in a training file to evidence the training carried out?	Yes - No
3) Are you a member of the BDMA?	Yes - No

Declaration

I/We confirm the information disclosed within this document is true and accurate to the best of my/our knowledge.

I/We have included a copy of the firm's balance sheet and profit and loss statement for the reporting month.

I/We have provided EvolveU with a copy of the firms year end accounts once produced.

Director Signature _____ Director Signature _____

Name _____ Name _____

Date _____ Date _____