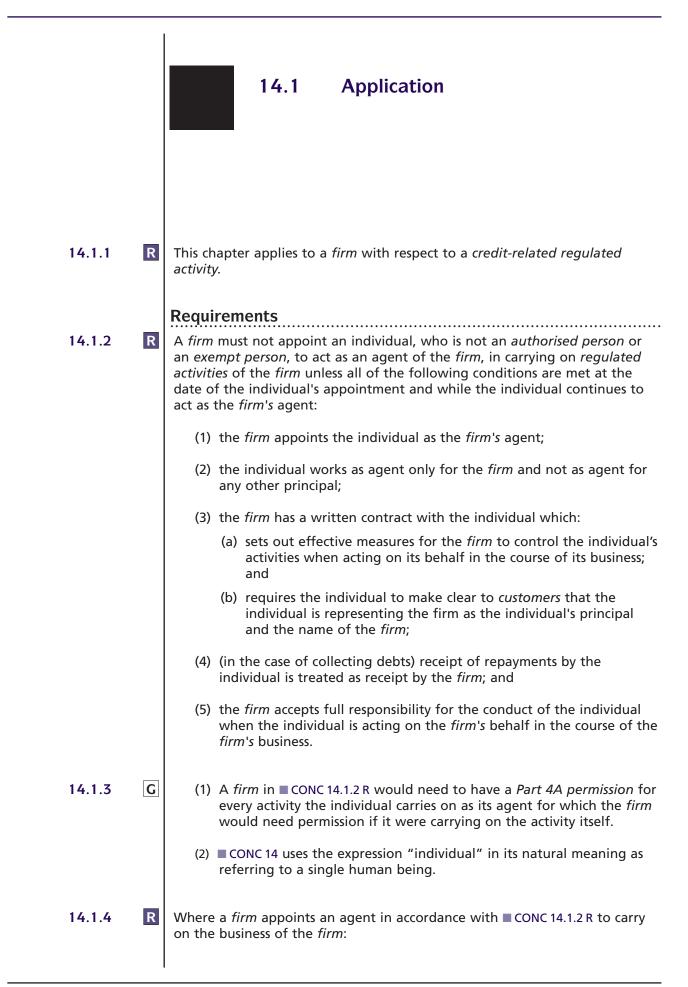
Consumer Credit sourcebook

Chapter 14

Requirement in relation to agents

CONC 14 : Requirement in relation to agents



CONC 14 : Requirement in relation to agents

- (1) the *firm* must establish, implement and maintain adequate policies and procedures sufficient to ensure compliance of the agent with the *firm*'s obligations under the *regulatory system*; and
- (2) the *firm* must take all reasonable steps to identify conflicts of interest between the agent and a *client* of the *firm* that arise or may arise in the course of the *firm* carrying on *regulated activities* or *ancillary activities*.

14