

Chapter 3A

Financial promotions and communications with customers

3A



3A.9 Systems and controls

Record keeping

- 3A.9.1

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A *firm* must make an adequate record of each *non-real time financial promotion of qualifying credit, home reversion plan or regulated sale and rent back agreement* which it has confirmed as complying with the *rules* in this chapter. The record must be retained for a year from the date at which the *financial promotion* was last *communicated*.
- 3A.9.2

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■ MCOB 2.8 (Record keeping) applies to the form in which records required in accordance with this chapter must be kept.