

Do you have the policies you need in place?

In this increasingly regulated world, there is an expectation (and in some cases a legal requirement) for financial service providers to have multiple written policies and procedures in place to document how they do business.

Here, consultant Jeunesse Meldrum lists the policies typically found in a well-governed funds management business which demonstrate best practice and good corporate governance.

Do you have the policies and procedures you need?

Here are some of the key issues your policies must address (listed in alphabetical order and not exhaustive):

- advertising, promotion, and communication
- board charter
- borrowing and liquidity management
- complaint and dispute resolution
- continuous disclosure and communication

- credit
- credit risk
- cyber security
- decision making
- design and distribution obligations
- distributions
- employee trading
- gearing and interest cover
- hedging
- human and information technology resources
- managing scheme property and expenses
- privacy
- related party transactions and conflicts of interest
- risk management
- securities trading
- unit pricing
- valuation
- whistleblowing
- withdrawals.

Are your policies best practice?

As specialist funds management and financial services lawyers, we actively monitor and analyse industry developments and emerging trends and provide targeted responses for our clients. We will work with you to ensure you have the right policies and procedures in place and that you meet best practice standards.



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