



-  I have provided client info, including national insurance numbers, to providers where requested.
-  For non-personal clients, I have provided LEIs where requested.
-  I have supersized my complaints procedure and extended it to other client categories.
-  I have trained and updated my staff on the MiFid II rules.
-  I understand how the providers I work with will react to MiFid II and how their communications with my clients will change.
-  I have undertaken a full review of my preferred risk profiling tool, and its limitations, and understand how I can factor them into the suitability process.
-  I am clear on the inducement rules. And won't breach them. That would be bad.
-  I have a process in place of making sure all relevant calls and meetings are thoroughly recorded or documented.
-  I can now get on with my business and seeing clients and doing the stuff I enjoy in life.