

Agenda

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• Attendees and apologies	4 - 5
• Executive Summary	6 - 8
• Objectives and actions	9 - 11
• ABI/IMA fund harmonisation: update	12 - 13
• Contract Enquiry Legal Framework and advisers: update	14 - 19
• Investment planning tools: <ul style="list-style-type: none"> • “Prohibiting abuse, not use” • Review proposal outlining series of next steps firms can take to investigate the operational and advice issues this creates and to identify solutions to mitigate this. 	20 - 33
• Fund codes and good practices <ul style="list-style-type: none"> • F&TRC to play back details of meeting with fund code suppliers on issue of fund codes and adviser charging (meeting taking place today). 	34 - 36
• Transaction history and good practices: <ul style="list-style-type: none"> • Take a look at what good practices are being developed (work is currently ongoing) • Can Platforms deliver against this, or not? 	37 - 39
• MIFID and best execution requirements for advisers and platforms	40 - 42
• AOB	43 - 44