COMMERCIAL FINANCE LAUNCH PROGRAMME · UNDERSTAND THE REGULATORY PERIMETER

Perimeter self-audit worksheet

List each product and client type; the sheet routes every row to confirm with your network, compliance or the FCA. It outputs questions to ask, never answers.

01 Your products and client types

For each row, name the product and the typical client. The sheet does not tell you the answer; it tells you who to ask.

Product line and typical client type (limited company, sole trader, individual)?

Which regulated edge might this touch (consumer buy-to-let, regulated mortgage, bridging, credit broking)?

02 Who owns the answer

Which owner will confirm this row: your network or principal, a compliance consultant, or the FCA?

03 The determination

Record what they decide, not what you assume.

Their recorded determination, and the permissions it means you need.

PREFER THIS DONE FOR YOU?

Ready to build the brand around what you place?

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