FINANCIAL ADVISORY LAUNCH PROGRAMME · GET FINANCIAL-PROMOTIONS-COMPLIANT FROM THE START

Financial promotions sign-off checklist

What counts as a promotion, the required disclosures, and the approval step.

01 What counts as a promotion

The rules are set by the FCA. This is a signpost, not compliance advice: confirm the specifics for your firm.

Marketing claims and taglines on your website

Testimonials and any reference to past performance

Social posts, adverts and directory listings

02 Your required disclosures

Bake these into the templates so they are never left off by accident.

Your regulatory status line: directly authorised, or an Appointed Representative of your network

The risk and status wording your permissions require

Where each disclosure sits in your brand templates

03 The sign-off step

An authorised person signs off: you if directly authorised, your network if you are an Appointed Representative.

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Who approves a promotion before it goes out

How you record what was published and when

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