



Financial Services Rule Book 2016 – Obligations to keep registers

Summary only – this document is not intended to be used without reference to the Financial Services Rule Book, nor can the Isle of Man Financial Services Authority accept responsibility for its accuracy. It remains the user's responsibility to review the source legislation and ensure compliance with the Rule Book requirements.

This table sets out the obligations in the Financial Services Rule Book 2016 for licenceholders under the Financial Services Act 2008 to keep registers.

Rule Title	Rule	Responsibility	Applies To	Comment
Conflicts of interest register	Rule 8.10	Compliance officer (8.23)	All Classes except Class 8(1), 8(2)(b) or 8(3)	Further particulars in rule 8.10(2)(b).
Breaches of regulatory requirements	Rule 8.17(3)	Compliance officer (8.23)	All Classes	This is a register of <u>all</u> breaches. It is <u>not</u> limited to material breaches.
Complaints	Rule 8.32	Compliance officer (8.23)	All Classes except Class 8(1), 8(2)(b) or 8(3)	Further particulars in rule 8.32(3)
Pricing errors (in relation to a collective investment scheme)	Rule 8.60(3)	Licenceholder	All Class 3(1), 3(2), 3(3), 3(4), 3(11) or 3(12)	This is a register of <u>all</u> pricing errors. It is <u>not</u> limited to errors of more than 0.5%.

Summary only. It is each licenceholder's responsibility to review the rules and ensure that it is in compliance with the Rule Book.

Rule Title	Rule	Responsibility	Applies To	Comment
Conflicts of interest	Rule 9.21(5)	Professional officer	Professional Officer	Further particulars in rule 9.21(6).
Complaints	Rule 9.22	Professional officer	Professional officer	Further particulars in rule 9.22(3).
Breaches of regulatory requirements	Rule 9.25	Professional officer	Professional Officer	This is a register of <u>all</u> breaches. It is <u>not</u> limited to material breaches.