

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

Financial Services Rule Book 2009

Obligations to keep registers

This table sets out the obligations upon licenceholders in the Financial Services Rule Book 2009 to keep registers.

RULE TITLE	RULE	RESPONSIBILITY	APPLIES TO	COMMENT
Conflicts of interest	Rule 8.8	Compliance officer (8.19)	Classes 1 - 7	Further particulars in rule 8.8(2)(b)
Breaches of regulatory requirements	Rule 8.14(3)	Compliance officer (8.19)	Classes 1 - 7	This is a register of <u>all</u> breaches. It is <u>not</u> limited to material breaches.
Complaints	Rule 8.29	Compliance officer (8.19)	Classes 1 - 7	Further particulars in rule 8.29(4)
Pricing errors (in relation to a collective investment scheme)	Rule 8.57(4)	Licenceholder	Class 3 only	This is a register of <u>all</u> pricing errors. It is <u>not</u> limited to errors of more than 0.5%.
Conflicts of interest	Rule 9.25	Professional officer	Professional officer	Further particulars in rule 9.25(6)
Complaints	Rule 9.26	Professional officer	Professional officer	Further particulars in rule 9.25(3)
Breaches of regulatory requirements	Rule 9.29	Professional Officer	Professional Officer	This is a register of all breaches. It is not limited to material breaches