

iBMACS Broker Profiling for: Sample Company

For the period:

October-2007

back to

November-2006

Profiling Abbreviations:

- O Number Opened in the period
- C Number Closed in the period
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- R Number of Red
- A Number of Amber
- T Total number

End Date	Approved Persons				Appointed Representatives								
	Declaration R	Declaration A	FSA Notification R	Controlled Functions R	Agreement R	FSA R	FSA A	Review R	Review A	Credit Check R	Annual Accounts R	Close Links R	Comply R
31/10/2007	1		1		4	7		14		4	4	1	2
30/9/2007	1		1		4	7		14		4	4	1	2
31/8/2007	1		1		4	7		11	3	4	4	1	2
31/7/2007	1		1		4	7		10	1	4	4	1	2
30/6/2007	1		1		4	7		10		4	4	1	2
31/5/2007			1		2	4		6	1	3	2	1	2
30/4/2007	2				2	4		6		2	1	1	2
31/3/2007	3			2		10		4	5	3	3	4	4
28/2/2007	2			2			11	3	1	3	3	4	4
31/1/2007	2			2			11	3		3	3	4	4
31/12/2006	2			2			11	3		3	3	4	4
30/11/2006	2			2						3	3	3	3

End Date	Business Continuity Plans			Capital Resources Requirements	Client Complaints					Client Money Calculation	Commission Disclosure		
	T	R	A		O	C	OS	R	A		R	A	
31/10/2007	7	7					3	3				5	
30/9/2007	7	7					3	3				5	
31/8/2007	7	5	2				3	3				5	
31/7/2007	7	4	1		1		3	2	1			5	
30/6/2007	7	4					2	2				5	
31/5/2007	6	3					2	2				5	
30/4/2007	6	3					1	2	2				
31/3/2007	6	5			2		1	4	3	1			
28/2/2007	6	4	1				2	2					
31/1/2007	6	3	1				2	2					
31/12/2006	6	3					2	2					
30/11/2006	6	3					1	1	1				

End Date	Conflict of Interest Declarations					FSA Visit/AP/AR Deficiencies					FSA Visit
	O	C	OS	R	A	O	C	OS	R	A	
31/10/2007			4	4				3	3		
30/9/2007			4	4				3	3		
31/8/2007			4	4				3	3		
31/7/2007			4	4				3	3		
30/6/2007	1		4	4		7	2	3	3		
31/5/2007			2	2		1		2	2		
30/4/2007	1	1	2	2			2	1	1		
31/3/2007	1	1	3	3				3	3		
28/2/2007	1		3	3				3	3		
31/1/2007			2	2		1		3	3		
31/12/2006			2	2		1		2	2		
30/11/2006			2	2				2	2		

End Date	Insurer Money									
	Review R	Review A	Approved Bank R	Insurer Approval R	Commission Transfer R	RMAR Requests R	DPA Notification R	Sub-Agents Monitored R	Client Notification	R
31/10/2007	8	1	1	1	3	1	2	3	2	
30/9/2007	8		1	1	3	1	2	3	2	
31/8/2007	8		1	1	3	1	2	3	2	
31/7/2007	7	1	1	1	3	1	2	3	2	
30/6/2007	7		1	1	3	1	2	3	2	
31/5/2007	6	1	1	1	3	1	2	3	2	
30/4/2007	4	2	1	1	3	1	2	3	2	
31/3/2007	6				2	1	4	3	1	
28/2/2007	6				2	1	4	3	1	
31/1/2007	6				2	1	4	3	1	
31/12/2006	5	1			2	1	4	3	1	
30/11/2006	5				2	1	4	3	1	

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End Date	Money Laundering Suspicions					Outsourced Activities			Ownership Changes	Professional Idemnity Insurance		
	O	C	OS	R	A	Review R	Review A	SYSC R	R	Review	Single	Aggregate
31/10/2007			2	2		1			3			
30/9/2007			2	2		1			2			
31/8/2007			2	2		1			2			
31/7/2007			2	2		1			2			
30/6/2007			2	2		1			2			
31/5/2007	1		2	2		1			2			
30/4/2007	1	1	1	1		2			1			
31/3/2007	1	1	1	1		2			1			
28/2/2007			2	2		2			1			
31/1/2007			2	2		2			1			
31/12/2006			2	2		2			1			
30/11/2006			1	1		1						

End Date	Policies			Rule Breaches				Sub Agencies						
	T	R	A	O	C	OS	R	O	C	OS	Review R	A	Contract R	Approval R
31/10/2007	31	22				3	3			5	2		1	1
30/9/2007	31	22				3	3			5	2		1	1
31/8/2007	31	18	4			3	3			5	2		1	1
31/7/2007	31	18				3	3	1		5	2		1	1
30/6/2007	31	18				3	3			4	2			
31/5/2007	28	18				3	3			3	2			
30/4/2007	28	18		1		3	3			3	1			
31/3/2007	28	21	2			2	2			3	1			
28/2/2007	28	20	1			3	3			2	1			
31/1/2007	28	12	8			3	3			2	1			
31/12/2006	28	12				3	3			2	1			
30/11/2006	26	11	1			2	2			1	1			

End Date	Subject Access Requests					Training Needs		Variation of Permission				
	O	C	OS	R	A	R	A	O	C	OS	R	A
31/10/2007			2	2		5				1	1	1
30/9/2007			2	2		5				1	1	1
31/8/2007			2	2		5				1	1	1
31/7/2007			2	2		5				1	1	1
30/6/2007			2	2		5				1	1	1
31/5/2007			2	2		5				1	1	1
30/4/2007			2	2		5				1	1	1
31/3/2007	1	1	2	2		4				1	1	1
28/2/2007			2	2		4				2	1	2
31/1/2007			2	2		3				2	1	2
31/12/2006			2	2		3				2	1	2
30/11/2006	1		2	1	1	2				1	1	1