

Investment Firms Prudential Regime Final Rules Published

The FCA has today **published final rules** on the new Investment Firms Prudential Regime. It is critical that firms prepare for the new regime which comes into force on 1 January 2022. The FCA has also published guidance and templates on remuneration policies and practices applicable under the new regime.

PREPARING FOR IFPR

The IFPR represents a major change for FCA investment firms. Firms should familiarise themselves with the FCA's consultation proposals and papers. Read Newgate's summaries of the FCA's consultations and papers [here](#).

HOW WE CAN ASSIST

Book an IFPR Readiness Assessment today to see how the regime impacts you.

In our assessment, we set out a gap analysis of your firm's existing framework against the new requirements, confirm your firm type, assist with building out your ICARA and prudential policies, and determine how the IFPR consolidation rules apply to you.

FCA SURVEY

The FCA will be contacting firms via a survey in the autumn requiring information on the firm's IFPR preparations. It is important to carry out IFPR preparations before this survey is received. We

can also assist with reviewing your response to the FCA's survey prior to submission.



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About Newgate Compliance

Newgate Compliance is a compliance consultancy offering a modern solution to implement your compliance function using an innovative compliance software solution called **The GATEway**.

Newgate has an unrivalled combination of experienced professionals, many of whom are ex-regulators.

Our customer focused approach seeks to provide appropriate, pragmatic and flexible solutions to our clients helping them to meet both the regulator's rules but also the spirit, principles and culture of the regulatory regime.

We look to build long-term relationships with our customers helping to encourage business growth, productivity and innovation. Our proactive approach is tailored to each customer's needs changing to meet those needs as the customer progresses and develops.

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