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Conduct & Ethics Policy

Banking, Finance & Fintech

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This guide explains what the tool produces, how to use the output, and what to watch for. The actual output (draft/report) is generated on the tool page.

Background

Drafts a conduct and ethics policy for a financial-services business — principles (client-first, suitability, honesty, confidentiality, no mis-selling), prohibited practices (rebating, misrepresentation, unauthorised advice) and consequences. Use this to set the conduct standard for your staff, aligned to your regulator requirements.

Purpose of this tool & output

A conduct code for financial staff

How the output is used

Adopt a conduct and ethics policy for financial staff to prevent mis-selling and conflicts.

Who receives it

Approved by the board; applies to all staff and associates.

Important cautions

AI-generated policy; align to your regulator conduct requirements.

Companion documents

- BFSI Hiring Kit
- Advisor / RM Training Program
- Certification & Licensing Guide
- Sales Incentive Scheme
- Performance Review Kit
- Attendance & Leave Policy

This is AI-assisted guidance. Verify with a qualified professional before any binding decision. Fees, authorities and processes vary by state and change over time — confirm with your state authority.