

Can I lock features within preset criteria?

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Compliance officers can force users to filter on criteria which they regard as essential – for example, Pension Premium Insurance – by creating preset criteria. This is covered in full in the section below on compliance tools.

Compliance officers can preset any of the kinds of filtering described above – e.g. financial strength and charges as well as contract features.

The presets can then be locked, ensuring that advisers cannot deviate from the firm's compliance policy. Alternatively, the presets can be left unlocked for some or all users. Even if the presets are not locked, the suitability report generated by the adviser will show any ways in which the adviser has changed the presets. In other words, the system maintains a compliance audit trail even if the presets are not locked.
