

30. A client has previously written to her former adviser opting out of any marketing activities from the firm or any third parties. However she continues to receive direct investment offers from the firm. She should complain based on the firm **NOT** complying with which set of regulations?
- A. Conduct of Business Rules.
 - B. Consumer Contracts Regulations 2013.
 - C. Data protection legislation.
 - D. Treating Customers Fairly.

Key option: C

Learning outcome: 4.02

52. An authorised firm is moving offices and during the move discovers a file relating to a pension transfer made in 2014 for a former client. What **must** the firm do with this record?
- A. Destroy it under data protection legislation as it relates to a former client.
 - B. Return it to the client.
 - C. Retain it for a further two years where after it may be destroyed.
 - D. Retain it indefinitely.

Key option: D

Learning outcome: 5.02