

PwC Plus Article

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IOSCO issues sound practices to assist members in enhancing complaint handling and protect retail investors

The Board of the International Organization of Securities Commissions today published a report that sets forth nine Sound Practices aimed at assisting its members in developing and improving their complaint handling procedures and mechanisms for retail investors.

Schlagwörter

Anlegerschutz, Beschwerdebearbeitung, Compliance, Wertpapieraufsicht (International)

FS-Branche(n)

Banking & Capital Markets, Asset & Wealth Management

Themen

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