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Our Legal and Consulting Solution

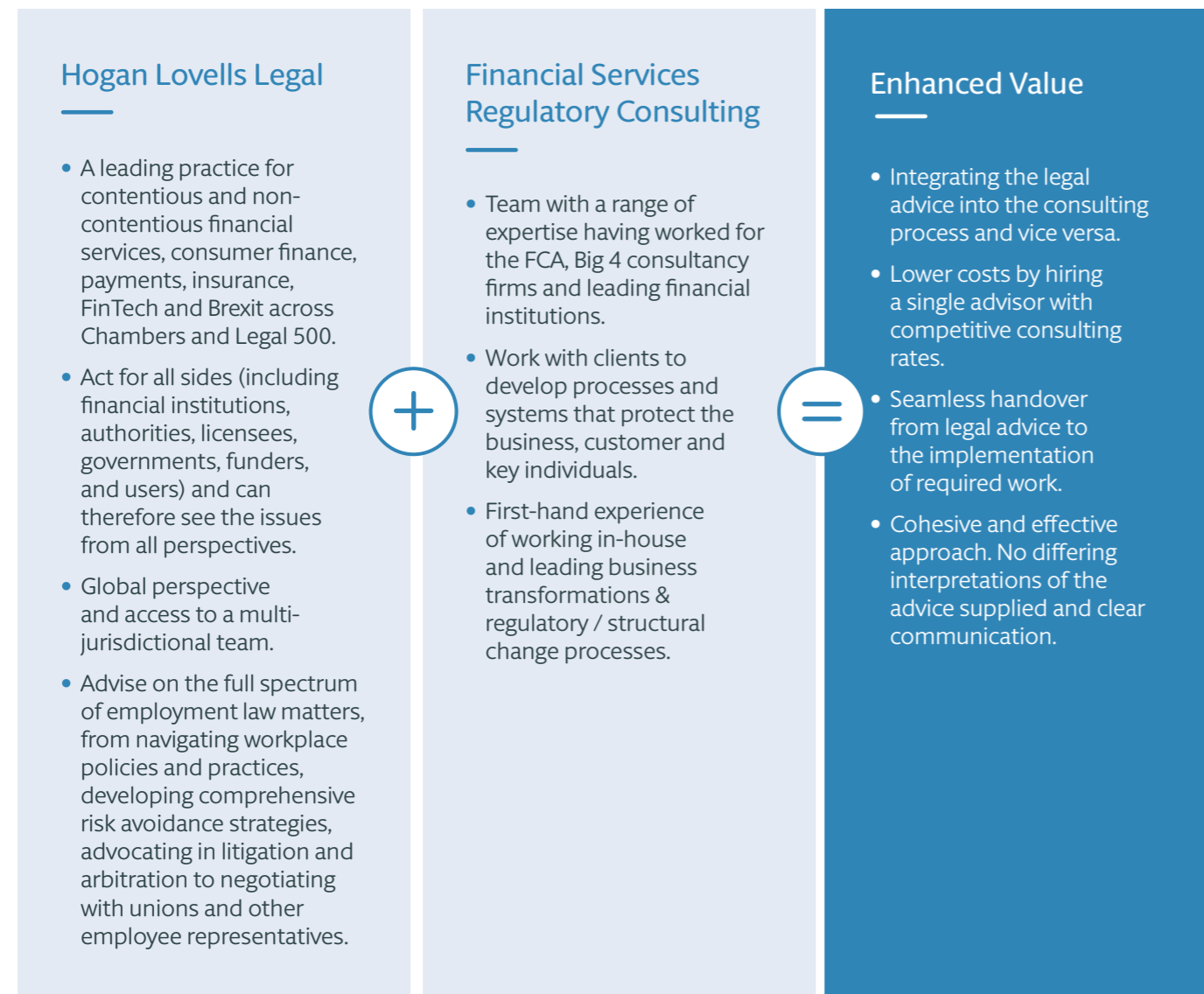
Senior Managers and Certification Regime

Informed, compliant + efficient

A Seamless Approach to SMCR

The Senior Managers and Certification Regime (SMCR) is a new regime which was developed following the financial crisis of 2008. It is intended to clarify the roles and responsibilities of senior personnel and key staff and improve individual accountability.

From December 2019, the SMCR will be extended to cover all FCA solo-regulated financial services firms. Our combined offering of legal and financial services consulting services provides you with a smarter, more cohesive and efficient way of getting your business to where it needs to be. We can support you through the implementation of the SMCR, providing the legal advice you need and then helping you put that advice into practice and implement change in your business.



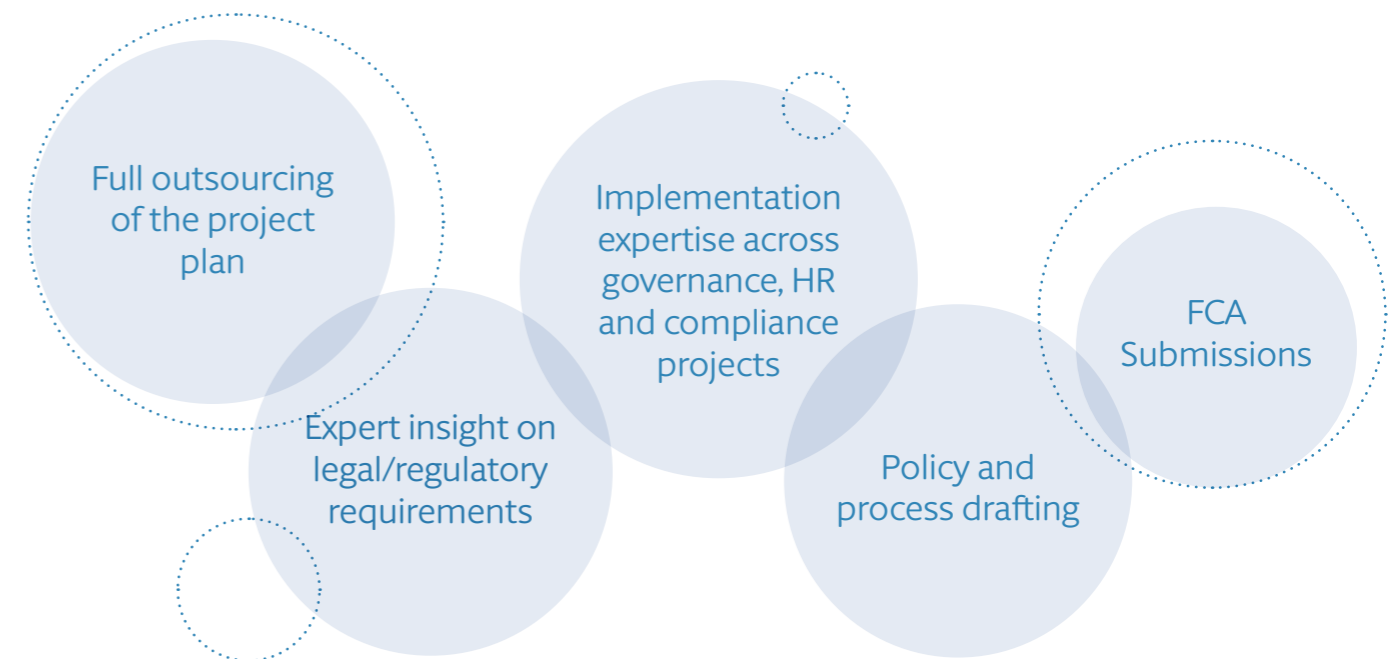
Our team is poised at the cutting edge of the industry and regularly helps our clients navigate through the newest and most complex regulatory developments.

Through our thought leadership programme, our industry events and highly regarded industry publications we provide the industry with some of the most topical information and advice.





Our legal and regulatory consulting teams, working with our legal project managers, can create a project plan that steps you through from the initial advice stage to full implementation.






Alternatively, we can assist with specific parts of your implementation and compliance project. Our offering is designed to provide cost effective and practical guidance on meeting your obligations and responsibilities under the regime and mitigating both personal and business risks.



In addition to our full implementation approach we also offer our SMCR toolkit which provides the guidance and tools you need to ensure you comply with the regime.

- **SMCR roadmap**
A detailed roadmap to help you navigate the regime. This document sets out the key requirements and the key actions that firms need to take. It includes rule references for each requirement and cross references other documents in our SMCR toolkit.
- **Project plan**
Using the steps in the roadmap, we have a project plan outlining practical and usable actions to implement your SMCR project.
- **Guidance notes: frontloading your legal thinking on mapping senior management functions, the certification regime and the conduct rules**
We have a range of legal guidance notes providing practical guidance on implementing the regime to help firms to identify senior managers and allocate responsibilities. These notes also provide useful checklists for firms and can form a helpful starting point for the creation of internal policies linked to conduct rules compliance.
- **Responsibilities map and statement of responsibilities**
A template responsibilities map together with guidelines to help you map the responsibilities within your organisation and ensure you are compliant with your documentary obligations.

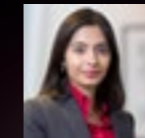
- **Templates**
Our toolkit includes a number of template documents, including a certification certificate, a fitness and propriety policy and a handover policy.
- **Training**
Slides that can be used as a basis for internal presentations to train staff on the key features of the SMCR.
- **Added support**
Our toolkit is available with a set of add-on services which allow you to obtain additional support from us during the implementation process to give you peace of mind. We offer access to a helpline for your questions on implementing the SMCR. We also have a document review service under which our team can review the documents you produce for your business based on our toolkit templates and provide comments. Each of these services are offered at substantially reduced rates to our normal hourly rates.



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