

# PRACTICAL STEPS TO PREPARE FOR THE FCA'S SENIOR MANAGERS & CERTIFICATION REGIME (SMCR)

**WITH THE EXTENSION OF THE SMCR TO ALL FCA REGULATED FIRMS TAKING EFFECT ON 9 DECEMBER, THIS SEMINAR LOOKS AT THE STEPS FIRMS SHOULD BE TAKING NOW TO COMPLY BY THEN.**

This event will provide practical guidance on the SMCR for legal counsel, compliance and HR teams and senior management of financial services firms.

## 1. OVERVIEW AND RATIONALE

- The three elements – Senior Managers, Certification and Conduct Rules
- Classifying firms - Enhanced, Limited Scope and Core firms
- Approach - Gap analysis, processes, documentation, training

## 2. SENIOR MANAGERS

- Functions and Prescribed Responsibilities
- Statements of Responsibility
- Duty of Responsibility and Reasonable Steps

## 3. CERTIFICATION

- Identifying Certified Person roles
- Annual certification
- Assessing fitness and propriety

## 4. CONDUCT RULES

## SPEAKER DETAILS

Anna Law is a highly experienced employment lawyer who advises banking and financial services organisations throughout the UK on how to comply with the new regime along with a range of other employment matters.

## DATE

Monday 17<sup>th</sup> June 2019

## TIMINGS

9.00am Registration and networking

9.30am Presentation followed by Q&A

11.30am Ends

## LOCATION

Keystone Law, 48 Chancery Lane, London, WC2A 1JF

Nearest tube stations: Chancery Lane (Central) and Temple (Circle and District)

## HOW TO REGISTER

To claim your complementary place at this event please email [dyson.cevallos@keystonelaw.co.uk](mailto:dyson.cevallos@keystonelaw.co.uk)