# Statement of responsibilities for: Name per FCA Register

Effective date: 2019/12/09

## **Senior management functions**

Name performs the following senior management functions:

|  |  |  |
| --- | --- | --- |
| **Senior management function**  | **Description of senior management function** | **Effective date** |
| SMF 1 | Chief Executive | 2019-12-09 |
| SMF 3 | Executive Director | 2019-12-09 |
| SMF 16 | Compliance Oversight | 2019-12-09 |
| SMF 17 | Money Laundering Reporting Officer | 2019-12-09 |

## **Prescribed responsibilities**

Name has been allocated the responsibilities listed below.

|  |  |
| --- | --- |
| **Prescribed responsibility** | **Is this prescribed responsibility shared?** |
| Responsibility for the firm’s performance of its obligations under the senior managers regime | No |
| Responsibility for the firm’s performance of its obligations under the employee certification regime | No |
| Responsibility for the firm’s policies and procedures for countering the risk that the firm might be used to further financial crime | No |
| Responsibility for the firm’s obligations for:* conduct rules training; and
* conduct rules reporting
 | No |

## **Other responsibilities**

In addition to those responsibilities already noted above, Name is also responsible for the following:

|  |  |  |
| --- | --- | --- |
| **Other responsibility**  | **Further details of this other responsibility**  | **Is this responsibility shared?** |
| Information Technology |  | Yes / No |
| Data Protection |  | Yes / No |
| Significant outsourcing |  | Yes / No |
| Human Resources |  | Yes / No |
| Finance |  | Yes / No |
| Consumer Duty |  | Yes / No |
| Retirement income sustainability |  | Yes / No |

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Signed Dated

Name \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Approved by The Senior Manager with overall

responsibility for the Senior Managers Regime

on behalf of the Governing Body

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signed Dated