

# SM&CR Pack

All IFA firms (large and small) need to ensure they are compliant with the new Senior Managers and Certification Regime by 9<sup>th</sup> December 2019.

- **WHAT: Model Office and Mint Blue Consulting** are running a series of workshops to help firms ahead the deadline date. We also have a document pack to help you kick-start your project available for anyone to purchase regardless of workshop attendance.
- **WHO:** This project will involve all your key personnel – Compliance, HR, Training and of course, your Senior Managers. This needs to be ready and the correct required forms submitted in a timely manner to the FCA.
- **WHY?:** There's a lot to consider and check, from your firm's current classification to individual background checks and Statements of Responsibility for all your Senior Managers. Our templates will help save you research and planning time.

## THE PACK:

This includes:

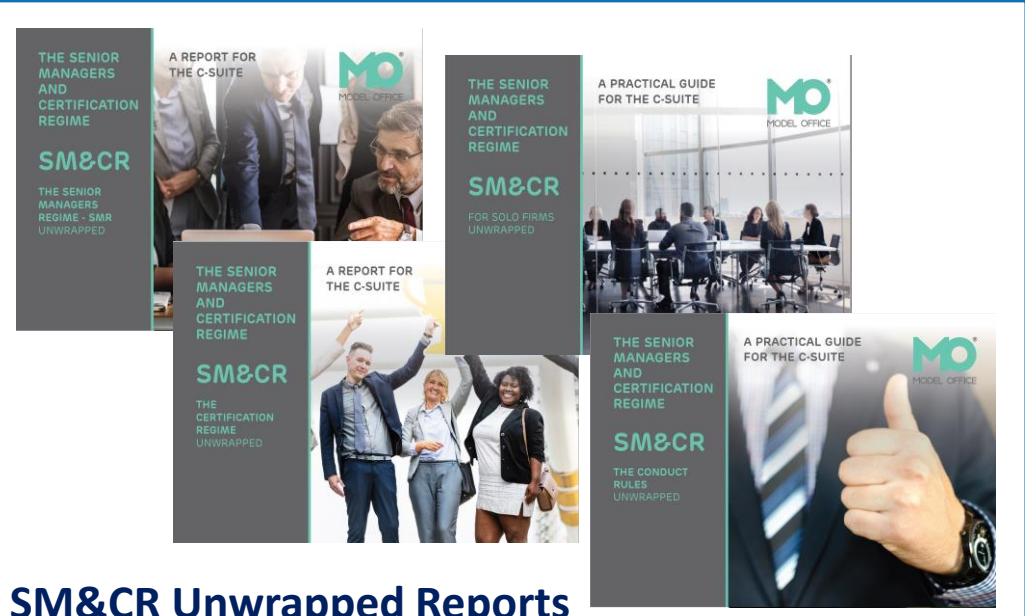
- A number of **very useful summary and detailed SM&CR documents** on all the key aspects of the new regime.
- A **project plan template** in Excel which can be easily tailored for your use, **project approach guide** and **mapping spreadsheet** to map your staff to the new regime and keep as evidence.

Contact us today to purchase your copy and start your project:

[info@mintblueconsulting.co.uk](mailto:info@mintblueconsulting.co.uk)

[info@model-office.co.uk](mailto:info@model-office.co.uk)

# SM&CR Pack - £397 + VAT



**SM&CR Unwrapped Reports**



**Firm Types - Practical guides and webinars**

## Project Guide, Project Plan, & Mapping Spreadsheet Templates

**Project Tasks**  
**SM&CR Regime Implementation Project Plan**  
 Firm Type Check (see The Senior Managers and Certification Regime FCA Guide)  
 Mapping (all firms)  
 Allocation of Responsibilities  
 Senior Manager checks - complete  
 Submit Forms with checks to FCA  
 Fit & Proprietary Checks - Certification  
 Training - all relevant staff (see the New SM&CR Regime live)

Enhanced Firm	CF1 - CEO	CF1 - Director	CF30 - Customer Function*	CF3 - CEO	CF1 - Director	CF1 - Director
Current Role (includes possible mapping to the new SMF roles)		CF3 - CEO	CF4 - Partner	CF4 - Partner	CF5 - Director of Unincorporated Association	CF6 - Small Friendly Society Function
New Role	SMF1 - CEO	SMF2 - Chief Finance Officer	SMF3 - Exec Director	SMF4 - Chief Risk Function	SMF5 - Head of Internal	

**SM&CR – Who's involved**

Current Role	CF3 - CEO	CF1 - Director
New role	SMF1 - CEO	SMF3 - Exec Director
Current Person who holds this role		
Future Person who holds this role		
Based in UK or overseas?		
Is this an automatic map between roles? Y/N		
Forms required:		
Date to be submitted to the FCA		
Certified Functions		
Current Role	CF29 - Significant Management Function	CF10a - CASS Oversight Function
Certified Functions responsibilities (Individuals who are UK based or are overseas and deal with UK clients (exception is	Significant Management Function	CASS Operational Oversight Function (firm holding client

# SM&CR Pack

Detailed list of items included in the pack:

## **The SM&CR Unwrapped Reports:**

- SM&CR overview
- Senior Managers Regime
- Certification Regime
- Conduct Rules

## **Project Document Templates & Guides:**

- Project Management Approach Guide
- Project Plan template
- Mapping spreadsheet templates for Limited, Core and Enhanced Firms

## **The SM&CR Guides & Webinars for your firm type:**

- Enhanced
- Core
- Limited Scope