
SM&CR Countdown

Firms have six weeks to comply with the new Senior Managers and Certification Regime ("SM&CR") which comes into effect on 9th December 2019.

Under SM&CR, firms must provide Conduct Rules training to all applicable staff prior to 9th December 2019.

To help comply with the requirements, Newgate are offering an on-line SM&CR Conduct Rules Training Course.

This training course covers:

- Background to the Conduct Rules;
- The two tiers of requirements under the Conduct Rules;
- Breach reporting and notification requirements to the FCA; and
- FCA case studies to illustrate enforcement actions in this area.

Basically, this covers everything we think you need to provide to staff who are impacted by the Conduct Rules.

The good news is that this training course counts as 1 hour of structured CPD work.

Newgate can also undertake an SM&CR gap analysis and, if required assist with any follow up actions providing policies, manuals, statements of responsibilities, etc.

Did you know?

We have a suite of 16 online compliance training courses. These include key topics such as AML, bribery and market conduct. Our new courses available from January 2020 include:

- SM&CR Senior Managers Regime
- SM&CR Certification Regime
- Product Governance
- FCA Business Plan 2019 / 2020
- Client Money & Assets (the CASS Regime)

Please contact us if you would like to request any further information by calling (0)20 3696 8750 or emailing info@newgatecompliance.com.