

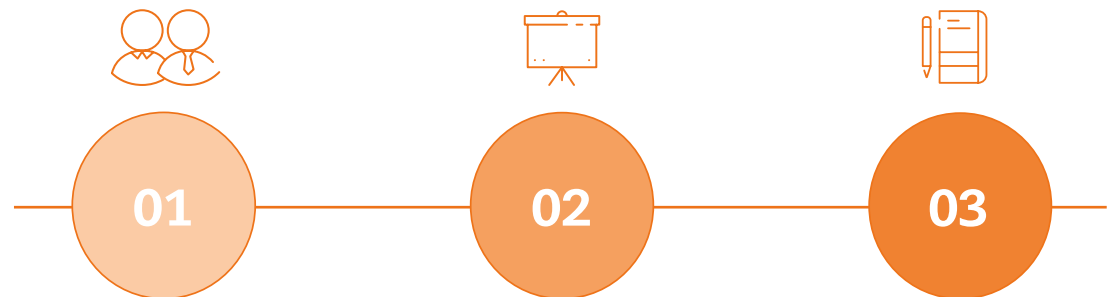
Extension of the Senior Managers and Certification Regime

How Clyde & Co can help

We have considerable experience in advising banking firms and insurers when they transitioned to the SM&CR and SIMR respectively in 2016 so we are well placed to assist financial services firms leading up to the extension of the SM&CR on 9 December 2019.

For more information please contact your usual advisor at Clyde & Co.

Clyde & Co's employment and regulatory teams can help in 3 key areas:



HR training

Train HR teams on the basic principles of the SM&CR and how the conduct rules may affect, or give rise to, disciplinary matters

Staff training

Provide specially designed training aimed at different levels of your organisation (from the Board through to other "conduct rules staff") on what the new regime means to them and the potential personal consequences for breaching the conduct rules

Drafting

Review and draft amendments to contracts of employment and relevant policies, such as fitness & propriety and disciplinary policies to take account of the conduct rules