



Let us help you find your way

The Senior Managers and Certification Regime Toolkit

Please contact insights@konexoglobal.com to sign up for your free demo.

What is it?

Our Toolkit, for firms subject to the extended SMCR, is designed by a team of compliance consultants, financial regulatory lawyers and employment lawyers, drawing on relevant industry and product experts in the Eversheds Sutherland network. The Toolkit contains materials to help you meet regulatory expectations cost-effectively.



Project plan: a detailed project plan based on our past projects with firms that have already gone through the SMCR process. The project plan can be easily customised and cross refers to the other Toolkit materials.



Training slides: training slides for senior managers and certified staff that link to our Q&A, so that you can satisfy your duty to ensure that teams understand the regime and their personal liability under it.



Question and answers document: these are the top 50 questions that our clients have asked during our past SMCR projects. We provide references to the relevant provisions.



Responsibility map templates: the Toolkit contains responsibility map templates with pre-identified responsibilities for the most common business areas.



Rules matrix: we have produced a rule matrix to show you which rules apply and where to find them.



Policy templates: we have developed a bank of policy templates, including a handover policy, certification policy, conduct policy, whistleblowing policy, training policy and regulatory references policy.



Compliance monitoring: building on our Rules Matrix, we have designed a programme to assist your compliance legal and HR teams demonstrate that they have proper oversight of the regime.



Type of Toolkit for you

For enhanced firms and larger core firms we have our gold, silver and bronze services reflecting your need for the level of customisation and support based on the size and complexity of your organisation. We also have our "Toolkit lite" for standard core and limited scope firms. Please contact us to discuss the service best suited for your firm's circumstances.

Further information

Please ask any of the Eversheds Sutherland contacts below for further information about the pricing of this Toolkit and to see a demo.



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For further information about SMCR, how our Toolkit can help your organisation and to sign up for our free demo, please scan the QR code to the left.