We offer a range of SMCR-focused seminars tailored to your needs. Each of the following represents a session of around an hour and can be offered individually or combined.

**Implementing SMCR processes and controls**
- Overview of SMCR, key design principles and deliverables.
- Practical considerations for asset managers.
- Key challenges for the identification of senior managers and allocation of prescribed responsibilities.
- Practical guidance on the identification of certified persons.
- Best practice for establishing a framework for ongoing assessment of fitness and propriety.
- Conduct rules breach reporting: what, when and how?
- Transitioning to SMCR: establishing a framework for compliance after 9 December 2019.
- Key questions about the FCA Directory and regulatory references.
- SMCR and Brexit: impact for branches.

**Governance, conduct and accountability**
- Senior manager responsibilities: conduct rules and reasonable steps.
- Demonstrating reasonable steps: lessons learned from recent enforcement investigations.
- Legal and regulatory briefing for boards.
- Commonly faced issues for NEDs under SMCR.
- Practical guidance on coordinating the certification process.
- Training for certified staff: a regulatory refresh.
- Practical measures to manage conduct risk.
- Conduct rules: practical points on training and breach reporting.
- Managing remuneration and incentives under SMCR.

**Key employment aspects of SMCR**
- Revised appraisal and disciplinary processes.
- Absence cover arrangements.
- Handling whistleblowing and the role of the whistleblowing champion.
- Departures and handover arrangements.

**Broader regulatory context**
- FCA and PRA enforcement priorities and expectations.
- An overview of the enforcement process.
- Trends in UK and European financial regulation.
- A global perspective on senior management accountability.
- Ethics, culture and conduct in banking and finance.
<table>
<thead>
<tr>
<th>Key contacts</th>
<th>Tel:</th>
<th>Email</th>
</tr>
</thead>
<tbody>
<tr>
<td>Martyn Hopper Partner</td>
<td>+44 20 7456 5126</td>
<td><a href="mailto:martyn.hopper@linklaters.com">martyn.hopper@linklaters.com</a></td>
</tr>
<tr>
<td>Nik Kiri Partner</td>
<td>+44 20 7456 3256</td>
<td><a href="mailto:nikunj.kiri@linklaters.com">nikunj.kiri@linklaters.com</a></td>
</tr>
<tr>
<td>Julia Dixon Partner</td>
<td>+44 20 7456 4406</td>
<td><a href="mailto:julia.dixon@linklaters.com">julia.dixon@linklaters.com</a></td>
</tr>
<tr>
<td>Jean Lovett Partner</td>
<td>+44 20 7456 3698</td>
<td>jean <a href="mailto:lovett@linklaters.com">lovett@linklaters.com</a></td>
</tr>
<tr>
<td>Alexandra Beidas Partner</td>
<td>+44 20 7456 5903</td>
<td><a href="mailto:alexandra.beidas@linklaters.com">alexandra.beidas@linklaters.com</a></td>
</tr>
<tr>
<td>Matthew Keogh Partner</td>
<td>+44 20 7456 3118</td>
<td><a href="mailto:matthew.keogh@linklaters.com">matthew.keogh@linklaters.com</a></td>
</tr>
</tbody>
</table>

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