

SMCR Academy

Helping asset managers to comply with their training obligations under the SMCR with our industry-specific E-Training modules



SMCR Academy

Under the FCA's Senior Managers and Certification Regime (SMCR), firms are required to provide suitable training about the SMCR Conduct Rules to all staff who are subject to those rules. Under COCON 2.3.2G(2) and (3), firms are required to ensure that this training includes training about the practical application of the Conduct Rules to the specific roles performed by such staff.

E-Training is the ideal method of delivering this. It allows firms to ensure that the training is consistent, cost-effective, can be tracked automatically by an E-Training platform and can be differentiated to reflect the individual role of the person receiving the training.

Our SMCR Academy E-Training modules for asset managers have been designed by our team of experienced regulatory lawyers. The modules cover both general training on the Conduct Rules in the context of the asset management sector and separate specific training modules on the application of the rules to individual roles that are commonly performed within such firms. Offering both rules overviews and deep-dive case studies, they are ideal for ensuring you're your staff have a comprehensive understanding of what the rules say and the standards of behaviour that they require. For senior manager and certification staff, the audit trail generated by the modules can be used as part of the evidence on which the firm relies in order to determine that such staff are fit and proper.

Key features



Desk-specific training modules



Designed by leading Financial Services Regulation lawyers



Industry-standard SCORM compliant modules

Modules included:

- Introduction to the SMCR
- Separate modules for each Conduct Rule
- Separate bespoke modules covering each of the following functions
 - Investor Relations, Marketing and Fund Distribution
 - Traders
 - Portfolio Managers/Analysts

SMCR Solution

The SMCR Solution is a digital tool designed to help affected firms facilitate and manage their compliance with Senior Managers Certification Regime.

Please contact products@simmons-simmons.com to arrange a demo or to learn more about our SMCR products.