

Chapter 22

Regulatory references

Factors to take into account when asking for and giving regulatory references

Matters to take into account	Comments
(A) Any outstanding liabilities of that person from commission payments	
(B) Any relevant outstanding or upheld complaint from an <i>eligible complainant</i> against P	
(C) Section 5 of the relevant Form A in SUP 10A Annex 4 (Application to perform controlled functions under approved persons regime) or SUP 10C Annex 3 (Application to perform senior management functions)	
(D) FIT 2 (Main assessment criteria)	
(E) The persistency of any life policies sold by P	This only applies if SUP 16.8.1G(1) (Persistency reports from insurers) applies to B
<p>Note: P refers to the <i>employee</i> or <i>ex-employee</i> about whom the reference is given as defined in more detail in SYSC 22.2.1R and SYSC 22.2.2R.</p>	