

Senior managers and certification regime: Introduction and classification

Chapter 23

Senior managers and certification regime: Introduction and classification



23.4 Criminal record checks for certain directors

- 23.4.1** **R** This section applies to a *UK SMCR firm* that is:

 - (1) an *enhanced scope SMCR firm*; or
 - (2) a *core SMCR firm*.

- 23.4.2** **R** A *firm* must (as part of its assessment of the fitness and propriety of any of its *non-SMF board directors subject to competence requirements (P)*) obtain the fullest information that it is lawfully able to obtain about P under Part V of the Police Act 1997 (Certificates of Criminal Records, &c) and related subordinated legislation of the *United Kingdom* or any part of the *United Kingdom* before P's appointment as a *board director*.

- 23.4.3** **G** The *guidance* in ■ SUP 10C.10.17G, ■ SUP 10C.10.18G and ■ SUP 10C.10.21G about criminal record checks for *candidates* to be an *SMF manager* applies to criminal record checks under this section.